

Request for Proposal

Office of Community Development Disaster Recovery Unit

Supplemental Staffing Services-Federal Program Administration

RFP #:107140-021

Proposal Due Date and Time: June 29, 2009 2:00 PM (CDT)

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1.0 General Information

1.1 Purpose

The Louisiana Division of Administration, Office of Community Development, Disaster Recovery Unit (OCD-DRU) is issuing this Request for Proposal (RFP) to solicit proposals from qualified entities to perform the following activity:

Provide supplemental staffing services to further assist with the implementation of the Office of Community Development, Disaster Recovery Unit's (OCD-DRU) administration of Community Development Block Grant (CDBG) disaster recovery funds and Hazard Mitigation Grant Program (HMGP).

1.2 Background

CDBG

The CDBG program is authorized by the Community Development and Housing Act of 1974 and is administered on the federal government by the Department of Housing and Urban Development (HUD). It provides funding to states and communities for addressing housing, infrastructure, economic development and related needs. OCD-DRU has been awarded \$13.4 billion dollars in CDBG funds to recover from the destruction and devastation of hurricanes Katrina and Rita which occurred in 2005. Additional funding has been awarded to Louisiana to address the 2008 hurricanes - Gustav and Ike. To date, the state has been allocated over \$438 million for this purpose with an additional similar amount anticipated to be received in calendar 2009. The mission of the OCD-DRU is to administer these funds in accordance with federal program rules and regulations for the more than two dozen separate programs that have been established to aid in the hurricane recovery efforts.

In addition, the Office of Community Development administers a series of related programs, such as the Neighborhood Stabilization Program, and the Permanent Supportive Housing program.

HMGP

The HMGP program is authorized under Section 404 of the Stafford Act, funded by the Federal Emergency Management Agency (FEMA) and provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration.

The OCD-DRU is the sub-grantee for a \$750 million Hazard Mitigation Grant. OCD-DRU uses the HMGP to implement mitigation measures for the elevation or reconstruction of properties damaged or destroyed by Hurricanes Katrina and Rita. Additionally, individual mitigation measures (IMM) have also been approved.

The purpose of the OCD-DRU HMGP is two-fold:

- 1. To serve as a supplemental grant for eligible Road Home participants to implement measures that will permanently reduce or eliminate future damages and losses from natural hazards through the elevation or pilot reconstruction of their structure, and
- 2. To provide the overmatch necessary for the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) for disasters 1603 and 1607, Hurricanes Katrina and Rita respectively. The goal of the program is to elevate or reconstruct approximately 15,000 flood prone structures and properties throughout the state of Louisiana that were affected by Hurricanes Katrina or Rita. An additional goal is to fund IMMs and expend no more than \$200 million in IMM funding (not to exceed 30,000 properties).

The objectives of the program are further detailed in Attachment I, Scope of Work.

This RFP solicits proposals from firms possessing the background and expertise necessary to provide supplemental staffing services to assist with the implementation of the HMGP and CDBG programs described above.

1.3 Goals/Objectives/Performance Measures

CDBG

Goal

To increase the efficiency and operation of the OCD-DRU staff and administration of its CDBG and related funds.

Objective

- To obtain supplemental staff on an as needed basis to assist OCD-DRU in the design, implementation, and monitoring of its CDBG funds. The contractor should provide personnel that are trained and knowledgeable in the following areas: environmental review; financial management and audits; homeowner and small rental disaster recovery housing; low income tax credits/piggyback housing; infrastructure; economic development; compliance and monitoring; policy and reporting including data analysts; permanent supportive housing and other homeless programs; acquisition and relocation; labor standards compliance; fair housing/equal opportunity; and other CDBG and HUD housing subject matters. This staffing will provide needed capacity to OCD-DRU in its efforts to recover from the destruction of the 2005 and 2008 hurricanes.
- If additional hurricanes or other national disasters affecting Louisiana occur during the life of this contract, contractor staff may be assigned to work on future federal grants awarded.

Performance Measures

• The contractor will provide a bi-weekly report that details progress made in providing supplemental staff services, listing major accomplishments, work products, and a schedule to complete assigned tasks as directed by OCD/DRU program managers.

HMGP

Goal

• To increase the number of homeowner project folders processed and payments made without sacrificing quality and to obtain professional staff capable of successfully functioning in a dynamic environment as representatives of the OCD-DRU Hazard Mitigation Grant Program to the public.

Objective

• To obtain supplemental staff on an as needed basis to augment the current OCD-DRU staff available for the implementation of the HMGP.

Performance Measures

- Contractor shall provide a monthly summary that measures the attrition rate of all personnel.
- Contractor shall provide weekly reports detailing the weekly roll up of productivity
 metrics including number of inbound calls, outbound calls, average hold time, call time
 and call abandon rate, new homeowner project folders assembled and transferred to
 mitigation analysts, continued eligibility determinations made, payments processed, and
 other activities as determined necessary by OCD-DRU.

2.0 Administrative Information

2.1 Term of Contract

The period of any contract resulting from this RFP is tentatively scheduled to begin on or about the date given in 2.3 Calendar of Events. The term of the contract will be for (3) years. If permitted by Louisiana law at the time of expiration of the Contract, the State may, upon agreement of the Contractor, extend the term of the Contract.

2.2 RFP Coordinator

Requests for copies of the RFP and written questions shall be directed to the RFP Coordinator listed below.

Supplemental Services RFP Coordinator
Office of Community Development
Disaster Recovery Unit
P.O. Box 94095 (Mailing Address)
Baton Rouge, LA 70804-9095
HazardMitigation@la.gov

Copies of the RFP may also be accessed at the LaPAC website: http://www.prd.doa.louisiana.gov/osp/lapac/bidlist.asp?department=76

Hand deliver or Courier to:

Supplemental Services RFP Coordinator
Office of Community Development
Disaster Recovery Unit
150 N. Third St., Suite 500 (Physical Address)
Baton Rouge, La. 70801

2.3 Calendar of Events

Event Date

1.	RFP advertised in newspapers and posted to LaPAC	May 27, 2009	
2.	Non-mandatory pre-proposal conference	June 5, 2009	
3.	Deadline to receive written inquiries,	June 12, 2009	2:00 PM CDT
4.	Deadline to answer written inquiries	June 19, 2009	
5.	Deadline for submitting proposals,	June 29, 2009	2:00 PM CDT
6.	Notice of Intent to Award to be faxed,	July 10, 2009	
Mailed and/or emailed			
7.	Proposed Contract Initiation	July 30, 2009	

NOTE: The State of Louisiana reserves the right to amend and/or change this schedule of RFP activities, as it deems necessary.

2.4 Proposer Inquiries

The State will consider written proposer inquiries regarding RFP requirements before the deadline specified in the Calendar of Events. The State reserves the right to modify the RFP should a change be identified that is in the best interest of the State. To be considered, written inquiries and requests for clarification of the content of this RFP must be received at the above address or via fax at (225) 379-4036 or via email at HazardMitigation@la.gov by 2:00 p.m. CDT on the date specified in the Calendar of Events. Any and all questions directed to the RFP Coordinator will be deemed to require an official response. Official responses to each of the questions presented by the proposers will be posted by the date specified in the calendar of events. These responses can be accessed at the LaPAC website:

http://www.prd.doa.louisiana.gov/osp/lapac/bidlist.asp?department=76

Only the Supplemental Services RFP Coordinator has the authority to officially respond to proposer's questions on behalf of the State. Any communications from any other individuals are not binding to the State.

2.5 Pre-proposal Conference

A non-mandatory pre-proposal conference will be held 9:00 AM Friday, June 5, 2009 and will be held in the Auditorium at the Baton Rouge State Office Building, 150 N. Third Street, Baton Rouge, LA 70801. Prospective proposers may participate in the conference to obtain clarification of the requirements of the RFP and to receive answers to relevant questions. Any firm or joint venture intending to submit a proposal should have at least one duly authorized representative attend the Pre-proposal Conference.

Although impromptu questions will be permitted and spontaneous answers will be provided during the conference, the only official answer or position of the state will be stated in writing in response to written questions. Therefore, proposers should submit all questions in writing (even if an answer has already been given to an oral question). After the conference, questions will be researched and the official response distributed in writing and/or posted on the Internet.

2.6 Definitions

Average Hold Time – The average speed of answer for a call or time spent waiting in the queue before being answered by call center personnel.

Call Abandon Rate – The number of calls that are abandoned before answered by call center personnel.

Call Time – The amount of time that is spent on the phone with a caller.

CDBG – Community Development Block Grant

CONTRACTOR - Denotes the Proposer that is awarded a contract as a result of this procurement and will have full responsibility and liability for the completion of all deliverables.

DRU – Disaster Recovery Unit

Federal Emergency Management Agency (FEMA) - Federal agency mandated with oversight and management of disaster relief funding.

Hazard Mitigation (HM) - A newly created section under DOA OCD/DRU tasked with the oversight of eligibility and disbursement of HMGP funds throughout the State of Louisiana, also referred to as the 'Sub-Grantee'. There are many mitigation activities eligible for funding under HMGP, however for the purpose of this grant; OCD/DRU HM is utilizing the FEMA HMGP funds to assist homeowners with the elevation and reconstruction of flood prone structures. Additionally, approval was granted to provide funding for individual mitigation measures (IMMs).

Hazard Mitigation Grant Program (HMGP) - Authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, this is a federal (FEMA) grant reimbursement program. The HMGP provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration. The purpose

of the HMGP is to reduce the loss of life and property due to natural disasters and to enable mitigation measures to be implemented during the immediate recovery from a disaster.

HUD – U.S. Department of Housing and Urban Development, the federal agency that administers CDBG funds.

IMM – Individual Mitigation Measures

Inbound Calls – Calls that are initiated by homeowners.

OCD – Office of Community Development

OCR-Office of Contractual Review, Division of Administration, State of Louisiana

Outbound Calls - A call that is initiated by call center personnel.

Project Manager - An individual who is responsible for the contract services

Proposal- A response to an RFP

Proposer- A firm or individual who responds to an RFP

RFP- A request for proposals

Shall, Must, or Will- Denotes mandatory language; a requirement that must be met without alteration.

Should, Can, or May- Denotes desirable, non-mandatory language

3.0 PROPOSAL INFORMATION

3.1 Proposal Response Location

Proposers who are interested in providing services under this RFP shall submit a proposal containing the information specified in Section 4.0. The fully completed proposal with original signatures by an authorized representative must be received in hard copy (printed) version by the RFP Coordinator designated above by the deadline specified in the Calendar of Events. Fax or email submissions shall not be acceptable.

It is solely the responsibility of each proposer to assure that their proposal is delivered at the specified place and prior to the deadline for submission. Proposals, which for any reason are not so delivered, will not be considered for purposes of this RFP.

3.2 Desirable Qualifications of Proposer

The proposer's resources should possess the qualifications identified below.

1) **Project Manager**

- A Bachelor's degree from an accredited institution and seven (7) years of professional level experience in emergency management and project/program management.
- At least five (5) years of Hazard Mitigation Grant Program experience at Federal, State or local level since 1995, or in the private sector.
- Ability to coordinate with others inside or outside the organization to share information, makes decisions, and/or implement effective solutions to problems or complaints.
- Ability to analyze, comprehend, and apply complex and/or technical materials such as directives, regulations, policies, Code of Federal Regulations.
- Advanced ability to organize and prioritize work, devoting adequate time and attention to individual tasks while remaining acutely aware of timeframes and meeting deadlines and performance measures.
- Advanced usage of Microsoft Word, Excel, Outlook, Access and PowerPoint; must possess extensive knowledge of tables and graphs in Microsoft Excel; ability to quickly learn new software applications.

2) Hazard Mitigation Analyst:

- A Bachelor or Associate degree from an accredited institution. Four (4) years of experience in hazard mitigation, housing, community development or related fields; Four (4) years of Road Home and similar programs experience may substitute for the degree.
- Intermediate usage of Microsoft Word, Excel, Outlook, Access and PowerPoint; must possess knowledge of tables and graphs in Microsoft Excel; ability to quickly learn new software applications.
- Excellent written and oral communication skills, strong analytical skills, ability to work independently, and effective interpersonal skills are required.
- Must possess a valid driver's license.
- Knowledge, skills, and abilities necessary in order to track and analyze work data and ensure compliance with established policies and procedures
- The ability to acquire a working knowledge of applicable rules and regulations and the ability to provide technical assistance for the FEMA Hazard Mitigation Grant Program

3) Call Center Personnel:

- A Bachelor or Associate degree from an accredited institution or working toward degree and/or experience in a related field
- Excellent verbal communication skills
- Excellent listening skills
- 2+ years customer service or consultative sales experience
- Well organized with great attention to detail

- Ability to sit for long periods of time, work independently, and manage multiple, concurrent tasks
- The ability to acquire a working knowledge of applicable rules and regulations and the ability to provide technical assistance for the FEMA Hazard Mitigation Grant Program
- Knowledge, skills, and abilities necessary in order to track and analyze work data and ensure compliance with established policies and procedures
- Intermediate usage of Microsoft Word, Excel, Outlook, Access and PowerPoint; must possess knowledge of tables and graphs in Microsoft Excel; ability to quickly learn new software applications.

4) CDBG Compliance Specialist:

- A Bachelor or Associate degree from an accredited institution and at least four (4) years of experience in hazard mitigation, infrastructure, housing, community development or related fields; Road Home and similar programs.
- Intermediate usage of Microsoft Word, Excel, Outlook, Access and PowerPoint; must possess knowledge of tables and graphs in Microsoft Excel; ability to quickly learn new software applications.
- Excellent written and oral communication skills, strong analytical skills, ability to work independently, and effective interpersonal skills are required.
- Must possess a valid driver's license.
- Knowledge, skills, and abilities necessary in order to track and analyze work data and ensure compliance with established policies and procedures
- The ability to acquire a working knowledge of applicable rules and regulations and the ability to provide technical assistance for the HUD Community Development program, or related HUD funded programs.

3.3 Determination of Responsibility

Determination of the proposer's responsibility relating to this RFP shall be made according to the standards set forth in LAC 34:136. The State must find that the selected proposer:

- Has adequate financial resources for performance, or has the ability to obtain such resources as required during performance;
- Has the necessary experience, organization, technical qualifications, skills, and facilities, or has the ability to obtain them;
- Is able to comply with the proposed or required time of delivery or performance
- Has a satisfactory record of integrity, judgment, and performance; and
- Is otherwise qualified and eligible to receive an award under applicable laws and regulations.

3.4 RFP Addenda

State reserves the right to change the calendar of events or revise any part of the RFP by issuing an addendum to the RFP at any time.

3.5 Waiver of Administrative Informalities/Award on the Basis of Written Proposals

The State reserves the right, at its sole discretion, to waive minor administrative informalities contained in any proposal.

3.6 Proposal Rejection/RFP Cancellation

Issuance of this RFP in no way constitutes a commitment by the State to award a contract. The State reserves the right to accept or reject, in whole or part, all proposals submitted and/or cancel this announcement if it is determined to be in the State's best interest.

3.7 Withdrawal or Changes to a Proposal

A proposer may withdraw a proposal that has been submitted at any time up to the date and time the proposal is due. To accomplish this, a written request signed by the authorized representative of the proposer must be submitted to the RFP Coordinator.

A proposer may change a proposal by submitting the changes prior to the deadline for proposal submission and in accordance with the Response Instructions in Section 4.0.

3.8 Subcontracting Information

The State shall have a single prime contractor as the result of any contract negotiation, and that prime contractor shall be responsible for all deliverables referenced in the RFP and proposal. This general requirement notwithstanding, proposers may enter into subcontractor arrangements. However, the proposer must acknowledge in their proposals total responsibility for the entire contract.

If the proposer intends to subcontract for portions of the work, the proposer should include specific designations of the tasks to be performed by the subcontractor. Information required of the proposer under the terms of this RFP is also required for each subcontractor.

Prior to award of the contract, the selected proposer shall provide written commitments from all subcontractors to commence work by the proposed contract effective date, to accept all contract provisions, and to adhere to an established system of accounting and financial controls adequate to permit effective administration of the contract. Unless specifically permitted in the contract with the State, the prime contractor shall not contract with any other party for furnishing any of the work herein contracted without the express prior written approval of the State.

3.9 Ownership of Proposal

All materials submitted in response to this request shall become the property of State. Selection or rejection of a proposal does not affect this right.

3.10 Proprietary Information

Only information which is in the nature of legitimate trade secrets or non-published financial data may be deemed proprietary or confidential. Any material within a proposal identified as such must be clearly marked as CONFIDENTIAL in the proposal and will be handled in accordance with the Louisiana Public Record Act, R.S. 44:1-44 and applicable rules and regulations. Any proposal marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

3.11 Cost of Preparing Proposals

The State shall not be liable for any costs incurred by prospective proposers prior to issuance of or entering into a contract. Costs associated with developing the proposal, preparing for oral presentations, and any other expenses incurred by the proposer in responding to this RFP are entirely the responsibility of the proposer and shall not be reimbursed in any manner by the State.

3.12 Errors and Omissions in Proposal

The State shall not be liable for any errors in proposals. The State, at its option, has the right to request clarification or additional information from the proposers.

3.13 Contract Award and Execution

The State reserves the right to enter into a Contract without further discussion of the proposal submitted based on the initial offer received. The State reserves the right to contract for all or a partial list of services offered in the proposal.

The RFP and proposal of the selected proposer shall become part of any contract initiated by the State.

The selected proposer shall be expected to enter into a contract which is substantially the same as the sample contract included in Attachment IV. In no event shall a Proposer submit its own standard contract terms and conditions as a response to this RFP. The Proposer should submit with its proposal any exceptions or exact contract deviations that its firm wishes to negotiate. Negotiations may begin with the announcement of the selected proposer.

If the contract negotiation period exceeds thirty (30) days or if the selected Proposer fails to sign the final contract within thirty (30) business days of delivery of it, the State may elect to cancel the award and award the contract to the next-highest-ranked Proposer.

3.14 Code of Ethics

Proposers are responsible for determining that there will be neither an actual nor apparent conflict of interest nor violation of the Ethics Code if their company is awarded the contract. Ethics issues are interpreted by the Louisiana Board of Ethics.

Proposers are responsible for determining that there will be no conflict of interest or violation of the State's Ethics Code if their company is awarded the contract. Ethics issues are interpreted by the Louisiana Board of Ethics. If your firm is or has been engaged as a consultant, advisor or subcontractor under the contract between the State and ICF and you intend to submit a proposal, the State recommends that you obtain an opinion from the Ethics Board as soon as possible.

4.0 RESPONSE INSTRUCTIONS

Proposers must use the cost template provided in Attachment VI for the submission of cost proposals. Excel versions of the cost template will be available on the Department of Administration/Office of Community Development website:

http://www.doa.louisiana.gov/cdbg/dr/hmgp/hmgp.htm

4.1 Proposal Submission

Proposals must be received on or before the date and time specified in the Calendar of Events. Proposers mailing their proposals should allow sufficient mail delivery time to ensure receipt of their proposals by the time specified.

Proposals should be labeled:

Proposal Name: Supplemental Staffing Services-Federal Program Administration

Proposal Due Date: June 29, 2009, At 2:00PM (CDT)

Proposals may be mailed through the U.S. Postal Service to:

Supplemental Staffing Services RFP Coordinator Office of Community Development Disaster Recovery Unit P.O. Box 94095 (Mailing Address) Baton Rouge, LA 70804-9095 HazardMitigation@la.gov

Proposals may be delivered by hand or courier service to our physical location at:

Supplemental Services RFP Coordinator Office of Community Development Disaster Recovery Unit 150 N. Third St., Suite 500 (Physical Address) Baton Rouge, La. 70801 Proposer is solely responsible for ensuring that its courier service provider makes inside deliveries to our physical location. OCD is not responsible for any delays caused by the proposer's chosen means of proposal delivery.

Proposer is solely responsible for the timely delivery of its proposal. Failure to meet the proposal deadline date and time shall result in rejection of the proposal.

It is solely the responsibility of each proposer to assure that its proposal is delivered at the specified place and prior to the deadline for submission. Proposals which for any reason are not received timely will not be considered.

4.2 Proposal Format

The State requests that the one (1) Original Technical and Cost Proposal and twelve (12) copies of each proposal be submitted to the Supplemental Staffing Services RFP Coordinator at the address specified. The Original Proposal shall contain original signatures; the Original Proposal should be clearly marked or differentiated as "ORIGINAL PROPOSAL" to distinguish from the copies of the proposal.

The technical proposal should be boxed and labeled separately from the cost proposal indicating the following:

- 1. Proposal Name: Supplemental Staffing Services-Federal Program Administration
- 2. RFP No. **107140-021**
- 3. Proposal Due Date: June 29, 2009, 2:00 PM Central Daylight Time
- 4. Proposer's Name
- 5. The inscription: "Technical Proposal."

Cost proposals should be similarly labeled, but with the inscription, "Cost Proposal."

The Original Proposal will be retained by the State for incorporation by reference in any contract resulting from this RFP. The Original Proposal must be signed by those company officials or agents duly authorized to sign proposals or contracts on behalf of the organization. The person signing the proposal must be:

- A current corporate officer, partnership member, or other individual specifically authorized to submit a proposal as reflected in the appropriate records on file with the Secretary of State, if the proposer is a corporation; or;
- An individual authorized to bind the company as reflected by an attached <u>corporate</u> resolution, certificate or affidavit; or
- Identified in other documents indicating authority which are acceptable to the State.

Proposals should be submitted in accordance with Attachment II Proposal Information, of this RFP.

4.3 Cover Letter

A cover letter should be submitted on the proposer's official business letterhead explaining the intent of the proposer.

4.4 Technical and Cost Proposal

Proposer should submit a proposal as specified below and should include enough information to satisfy evaluators that the proposer has the appropriate experience and qualifications to perform the scope of services as described herein.

<u>Previous Applicable Experience</u> (20 Points)

• Demonstrate successful past firm experience that is similar to that necessary to perform the contract tasks identified in the statement of work.

Qualifications of Project Manager/Proposed Staff (20 Points)

- The current and relevant knowledge, quality and depth of experience of the proposed project manager through completed and ongoing efforts that is similar in nature to this effort and how the project manager will supervise and coordinate staff. The contractor shall include a resume with a description of the experience and capability for the proposed project manager. Descriptions shall address such items as the individual's background, education, work experience and accomplishments. The resume shall be limited to (3) pages.
- A staffing plan that includes a description of the current personnel resources for this requirement, which addresses the proposed staff capabilities and experience relating to the statement of work. The HMGP staffing plan should include the required number, type, and duration of their service for this project.
- Demonstrated knowledge of the CDBG and HMGP programs.

Project Approach and Planning (30 points)

Technical Approach

- Demonstrated effectiveness of proposer's approach to performing the various tasks outlined in the statement of work including reporting requirements and grant implementation.
- Proposed methodology and any innovative methods to effectively accomplish the statement of work.
- Capability to begin effective contract services in the least amount of time.

Cost of Service (30 Points) (See Attachment VI)

Total Weighted Cost for CDBG & HMGP

For each staff classification, the proposed hourly rate (fully burdened and inclusive of all travel and project expenses) shall be multiplied by the stated weight factor to derive a weighted cost for that classification. The weighted costs for all classifications will be summed to derive the weighted cost associated with Staff Classifications for each table. The proposed per OCD-DRU employee monthly rate (fully burdened and inclusive of all expenses) associated with the housing of up to (10) OCD-DRU employees shall be multiplied by the stated weight factor to derive a weighted cost associated with the contractor providing workspace at the New Orleans, LA facility. This will be the proposer's weighted cost associated with Workspace for OCD-DRU employees. The proposer's Weighted Total Cost will be computed by summing the weighted costs for CDBG and HMGP staff classifications multiplied by 2 plus the monthly workspace cost for OCD-DRU employees. This will be the proposer's weighted total cost to be used in the evaluation and scoring process for Cost of Service. Note: Weighting factors are for grading purposes only. Contractor will be paid the actual billable rates proposed or lower negotiated rates.

These rates will remain the same for the term of the contract.

4.5 Certification Statement

The proposer must sign and submit a Certification Statement shown in Attachment II

5.0 EVALUATION AND SELECTION

5.1 Evaluation Team

The evaluation of proposals will be accomplished by an evaluation team, to be designated by the State, which will determine the proposal most advantageous to the State, taking into consideration price and the other evaluation factors set forth in the RFP.

5.2 Administrative and Mandatory Screening

All proposals will be reviewed to determine compliance with administrative and mandatory requirements as specified in the RFP. Proposals found not to be in compliance will be rejected from further consideration.

5.3 Oral Presentations

The State may choose to have oral presentations at its sole discretion from all proposers deemed susceptible of receiving an award. Oral presentations will be evaluated with the same criteria in section 5.4 below. The cost of service portion of the grade will remain the same for the oral grades as it was for the written proposals. The State reserves the right to award the contract on the basis of the original offers.

5.4 Evaluation and Review

Proposals that pass the preliminary screening and mandatory requirements review will be evaluated based on information provided in the proposal. The evaluation will be conducted according to the following:

The evaluation will be conducted by a team according to the following criteria:

<u>Criteria</u>	Maximum Score
1. Previous Applicable Experience	20
2. Qualifications of Project Manager/Propose	ed 20
Staff	
3. Project Planning and Approach	30
4. Cost of Service	<u>30</u>
Total Score	100

Cost of Service points will be awarded on the basis of the following formula:

$$(X/Y) * Z = P$$

X is the lowest price proposal based on the Proposers' Weighted Total Cost as submitted in Attachment VI. Y is the proposal being graded. Z is the maximum number of points and P is the points actually awarded to the proposal being graded.

5.5 Award Selection

The Evaluation Team will compile the scores and make a recommendation to the OCD Executive Director for selection on the basis of highest score.

Only one contract will be awarded for OCD-DRU Supplemental Staffing Services. The award of the contract is subject to the approval of the Division of Administration, Office of Contractual Review.

5.6 Announcement of Contractor

The State will notify the successful proposer and proceed to negotiate terms for final contract. Unsuccessful proposers will be notified in writing accordingly. The evaluation factors, points, evaluation committee member names, and the completed evaluation summary and recommendation report will be made available to all interested parties after the Award letter has been issued.

5.7 Debriefing

Proposers who were not selected will be notified of the name of the selected proposer and will be given the opportunity to be debriefed.

6.0 CONTRACTOR REQUIREMENTS

6.1 Corporation Requirements

If the proposer is a corporation or other juridical entity not incorporated or formed under the laws of the State of Louisiana, the proposer shall have obtained a certificate of authority pursuant to R. S. 12:301-302 from the Secretary of State of Louisiana. If the proposer is a for-profit corporation whose stock is not publicly traded, the proposer shall ensure that a disclosure of ownership form has been properly filed with the Secretary of State of Louisiana.

6.2 Payment

The contractor will bill the Office of Community Development semi-monthly for reimbursement under this contract. This invoice must list the deliverable(s) signed off on by the OCD during the invoice period.

Payment for supplemental services provided under this contract will be billed based upon the actual hours incurred and the rate agreed upon with the successful proposer. **These rates will remain the same for the term of the contract.** The contractor shall submit separate invoices for CDBG and HMGP activities under the resulting contract. The total cost of all invoices for the supplemental services shall not exceed the maximum contract amount. Contractor staff will be paid the hourly rate while doing field travel on behalf of the state under this contract.

All HMGP payments are subject to a ten (10%) percent retainage. The retained amounts will be administratively reserved, but not paid out to an escrow or other interest bearing account. Final payment of all retained amounts will be contingent upon the completion and acceptance of all contract deliverables, which may extend beyond the contract period. For HMGP, the release of amounts retained will be made upon approval of the State Project Manager and close out of individual properties by GOHSEP. For CDBG, there will be no retainage; however, OCD-DRU reserves the right to forbid unqualified or incompetent staff of Contractor to assist with the implementation of the Office of Community Development, Disaster Recovery Unit's (OCD-DRU) administration of CDBG and HMGP. Any employee deemed unfit or unqualified to assist with the implementation of OCD-DRU's administration of CDBG or HMGP programs will be returned to the Contractor. The Contractor will then have the sole discretion of whether to retain the employee to work on other projects not associated with this contract. The level of hiring by Contractor to assist OCD-DRU with administration of CDBG programs is not expected to exceed fifty (50) personnel; OCD-DRU does not guarantee any level of staffing and reserves the right to either increase or decrease the level of staffing requirements as needed. Travel expenses directly related to field travel on behalf of OCD/DRU will be paid in accordance with PPM 49, State Travel Regulations. No other travel expenses or direct costs will be reimbursed under the contract.

6.3 Penalties

HMGP DELIVERABLE PENALTIES

After the end of each year, a \$500 penalty will be assessed for each final payment under the goal of 3,500 final payments that have not been received. If the retainage is not adequate to cover the assessed penalty, the penalties will be deducted from the next payment rendered to the contractor.

After the end of each year, a \$500 penalty will be assessed for each global match package submission under the goal of 3,500 global package submissions that have not been received. If the retainage is not adequate to cover the assessed penalty, the penalties will be deducted from the next payment rendered to the contractor.

After the end of each year, a \$500 penalty will be assessed for each IMM payment under the goal of 7,500 IMM payments that have not been received. If the retainage is not adequate to cover the assessed penalty, the penalties will be deducted from the next payment rendered to the contractor.

For each work day Deliverables 2-4 is past due, a \$500 penalty will be assessed. If the retainage is not adequate to cover the assessed penalty, the penalties will be deducted from the next payment rendered to the contractor.

6.4 Confidentiality of Data

All financial, statistical, personal, technical and other data and information relating to the State's operation and made available to the contractor in order to carry out this contract, or which become available to the contractor in carrying out this contract, shall be protected by the contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by the State in writing to the contractor. If the methods and procedures employed by the contractor for the protection of the contractor's data and information are deemed by the State to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of the State, to carry out the intent of this paragraph. The contractor shall not be required under the provisions of the paragraph to keep confidential any data or information which is or becomes publicly available, is already rightfully in the contractor's possession, is independently developed by the contractor outside the scope of the contract, or is rightfully obtained from third parties.

Under no circumstance shall the contractor discuss and/or release information concerning this project without prior express written approval of OCD.

6.5 Proposer's Certification of OMB A-133 Compliance

By signing and submitting any proposal for \$100,000 or more, the proposer certifies that their company, any subcontractors, or principals are not suspended or debarred by the General Services Administration (GSA) in accordance with the requirements in OMB Circular A-133. A list of parties who have been suspended or debarred can be viewed via the internet at http://www.epls.gov.

By signing and submitting a proposal, the proposer certifies that their company, any subcontractors, or principals are not currently under suspension or debarment by the State of Louisiana, or any other state, and if the proposer cannot certify, then it shall submit along with the proposal a written explanation of why such certification cannot be made.

ATTACHMENT I SCOPE OF WORK FUNCTIONAL AND TECHNICAL REQUIREMENTS

Overview

This Request for Proposals seeks supplemental staffing services for two distinctly different federal programs administered by the Louisiana Office of Community Development: the Community Development Block Grant (CDBG) program and the Hazard Mitigation Grant Program (HMGP).

CDBG

The CDBG program is authorized by the Community Development and Housing Act of 1974 and is administered on the federal government level by the Department of Housing and Urban Development (HUD). It provides funding to states and communities for addressing housing, infrastructure, economic development and related needs. OCD-DRU has been awarded \$13.4 billion dollars in CDBG funds to recover from the destruction and devastation of hurricanes Katrina and Rita that occurred in 2005. Additional funding has been awarded to Louisiana to address the 2008 hurricanes - Gustav and Ike. To date, the state has been allocated over \$438 million for this purpose with an additional similar amount anticipated to be received in calendar year 2009. In addition, the Office of Community Development administers a series of related programs, such as the Neighborhood Stabilization Program, and the Permanent Supportive Housing program.

HMGP

The HMGP program is authorized under Section 404 of the Stafford Act, funded by the Federal Emergency Management Agency (FEMA) and provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration. The mission of the OCD-DRU is to administer these funds in accordance with federal program rules and regulations for the more than two dozen separate programs that have been established to aid in the hurricane recovery efforts.

The OCD-DRU is the sub-grantee for a \$750 million Hazard Mitigation Grant. OCD-DRU uses the HMGP to implement mitigation measures for the elevation or reconstruction of properties damaged or destroyed by Hurricanes Katrina and Rita.

The purpose of the OCD-DRU HMGP is two-fold:

- 1. To serve as a supplemental grant for eligible Road Home participants to implement measures that will permanently reduce or eliminate future damages and losses from natural hazards through the elevation or pilot reconstruction of their structure, and
- 2. To provide the overmatch necessary for the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) for disasters 1603 and 1607, Hurricanes Katrina and Rita respectively.

The goal of the program is to elevate or reconstruct approximately 15,000 flood prone structures and properties throughout the state of Louisiana that were affected by Hurricanes Katrina or Rita.

The objectives of the program are further detailed:

- Elevation: to raise lowest floor of the structure to comply with Advisory Base Flood Elevation (ABFE) or the Base Flood Elevation (BFE) whichever is higher. Funded projects must maintain flood insurance in the amount of the lesser of the insurable value of the property or the maximum amount of insurance available if the property was previously flooded or is located in a flood zone.
- Pilot Reconstruction: To demolish and rebuild the structure in compliance with federal and state guidelines for FEMA's HMGP Pilot Reconstruction program. The new structure must be designed and rebuilt, at minimum, to the requirements of the 2003 edition of the International Building Code, or the International Residential Code for One- and Two-Family Dwellings published by the International Code Council. The square footage of all resulting structures shall be no more than 10 percent greater than that of the original structure.
- Individual Mitigation Measures: Individual Mitigation Measure Retrofits (IMM) are cost effective types of protection providing homeowners the ability to make their homes more wind resistant and better protected against flood damage. The IMM assistance includes an allowance of up to \$7,500 to help IMM retrofit homes in the following ways:
 - Install Window Protection (Shutters, Window Film, etc.)
 - Install Hurricane Straps/Clips; Bolt Walls to Foundation
 - Strengthen Doors (two doors)
 - Install Bracing on Garage Door
 - Install Backflow Valve
 - Anchor Propane Tank/Heating Fuel Tank
 - Elevate Electrical Panel/AC Unit
 - Raise Washer, Dryer
 - Raise Water Heater/Furnace

Elevation and Pilot Reconstruction projects shall be monitored for compliance.

This Scope of Services addresses contract technical support tasks that OCD-DRU is soliciting to support the implementation of the: 1) Community Development Block Grant disaster recovery programs and; 2) the Hazard Mitigation Grant Program. The tasks outlined below are based upon circumstances existing at the time the RFP was prepared. The Standard Operating Procedures for the HMGP have been provided in Attachment VII as further guidance for understanding the needs of the program. OCD-DRU will initially train the contractor using the train-the trainer approach to enable them to perform the HMGP tasks specified in the RFP. Upon completion of the training, the contractor will provide training as required for new hires and as necessary to keep staff current with changes in HMGP regulations and policies. OCD-DRU expects Contractor to provide competent and qualified staff to work on the scope of services under this contract. OCD-DRU reserves the right to forbid unqualified or incompetent staff of Contractor to assist with the implementation of the Office of Community Development, Disaster Recovery Unit's (OCD-DRU) administration of Community Development Block Grant

(CDBG) disaster recovery funds and Hazard Mitigation Grant Program (HMGP). Any employee deemed unfit or unqualified to assist with the implementation of OCD-DRU's administration of CDBG or HMGP programs will be returned to the Contractor. The Contractor will then have the sole discretion of whether to retain the employee to work on other projects not associated with this contract.

Tasks and Services

Deliverables

The Deliverables under this Contract shall include the performance of the following tasks, without limitation:

Tasks:

CDBG

- Provide supplemental staff to assist OCD-DRU in the design, implementation, and monitoring of its CDBG funds as required per this RFP. The contractor will provide personnel that are trained and knowledgeable in the following areas: environmental review; financial management and audits; homeowner and small rental disaster recovery housing; low income tax credits/piggyback housing; infrastructure; economic development; compliance and monitoring; policy and reporting including data analysts; permanent supportive housing and other homeless programs; acquisition and relocation; labor standards compliance; fair housing/equal opportunity; and other CDBG and HUD housing subject matters. The level of hiring by Contractor to assist OCD-DRU with administration of CDBG programs is not expected to exceed fifty (50) personnel. OCD-DRU does not guarantee any certain level of staffing and reserves the right to either increase or decrease the level of staffing as needed.
- Train, coordinate, integrate, and manage the activities of the personnel responsible for providing the service requirements of this RFP.

HMGP

- Provide qualified supplemental staff to augment the current OCD-DRU staff available for the implementation of the HMGP in accordance with the requirements of this RFP.
- Train, coordinate, integrate, and manage the activities of the personnel responsible for providing call center services and mitigation analysts. All personnel must have sufficient knowledge to answer homeowner questions about the HMGP program.
- Transfer of OCD-DRU toll free mitigation helpline (1-877-744-7235). Must staff with trained call center personnel to achieve a less than 5% abandoned call rate, an average waiting time of less than 2 minutes, and all standard call backs must be accomplished within 24 hours of the original call, and validation rate at 95% of acceptable documentation included in all transferred new homeowner project folders

- Ensure that the call center is staffed and available to receive calls 7:00am to 7:00pm CT, Monday through Friday, except on state holidays, and 8am to 5pm CT, Saturday. Call center times are subject to change based on volume of calls received.
- Perform routine functions such as field and route inbound calls, make outbound calls to follow up with qualified applicants identified during targeted mailings, schedule follow up appointments for mitigation analysts on existing homeowner project folders and payment packages, discern the status of an applicant as it relates to the elevation or reconstruction process, gather required documentation from the applicants, and assemble homeowner project folders using information gathered from homeowners for processing by mitigation analysts.
- Staff must provide written response to applicants within (30) days after receipt of request and/or contact.
- Assist OCD-DRU with the implementation of various phases of the HMGP program to include but not be limited to; collecting all data needed to determine homeowner interest, status of FEMA clearance, perform continued eligibility determinations, potential payments, internal appeals, homeowner consultations, quality assurance, mass mailings and subsequent data entry, project completion, database management, and closeout.
- Package HMGP projects in required format for submission to OCD-DRU for review and approval.
- Provide all necessary information and documentation to OCD-DRU that is required by GOHSEP to ensure all FEMA requirements are met.
- The ability to notarize documents throughout the State of Louisiana.
- Provide outreach efforts to allow homeowners the opportunity to obtain individual homeowner consultations, submit required documentation, etc. as required to manage the activities and as approved by OCD-DRU.
- Administer the IMM portion of the HMGP. IMMs will be available to Road Home Option 1 recipients on a first come first serve basis. (Note: There is a \$7500 cap per homeowner. No more than 30,000 homeowners will receive IMM grants.)
- Each eligible homeowner identified by OCD-DRU will be assigned to a personal mitigation analyst. HMGP Mitigation Analyst's will have a caseload of no more than 100 homeowner project folders currently in the construction phase of their project; however, the total caseload should not exceed 200 homeowner project folders. The contractor will be expected to contact the Option 1 universe of the Road Home Program which is approximately 125,000 applicants to confirm interest in the HMGP and IMMs.

State Furnished Resources:

CDBG & HMGP

- Contractor staff located in Baton Rouge, LA may be housed totally or in part at a facility provided by the State. If so, the State will provide contractor staff with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement.
- State shall appoint a State Project Manager for this Contract and he will provide oversight of the activities conducted hereunder. Notwithstanding the Contractor's responsibility for management during the performance of this Contract, the assigned State Project Manager shall be the principal point of contact on behalf of the State and will be the principal point of contact for Contractor concerning Contractor's performance under this Contract.

Contractor Furnished Resources:

CDBG

Contractor may be required to provide a facility for all or part of contractor staff within
approximately a 50 mile radius of Baton Rouge. If so, the Contractor will provide staff
housed at this facility with office space, computers, operating software, internet service,
office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this
facility arrangement.

HMGP

- Contractor shall provide a facility in New Orleans, LA to house Contractor staff and up to (10) OCD-DRU employees. This includes providing Contractor's staff and up to (10) OCD-DRU employees with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. The location will be subject to prior OCD-DRU approval. If the facility is not approved by OCD-DRU, the contractor will identify an alternate facility. The alternate facility will be subject to prior OCD-DRU approval and cannot exceed the cost of the original facility proposed.
- Contractor staff located in Baton Rouge, LA may be housed totally or in part at a facility provided by the contractor. If so, the contractor will provide all Baton Rouge contractor staff with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement.
- Contractor shall provide call center technology for both the Baton Rouge and New Orleans offices for HMGP.

Deliverables:

CDBG

- 1. The contractor shall provide qualified and experienced supplemental staff in all areas identified by OCD-DRU and Contractors staff shall work on CDBG and HMGP programs alongside state employees. The Contractor will be responsible for evaluating their employees. The employees of Contractor must perform in a manner satisfactory to OCD management when working on CDBG and HMGP programs. OCD shall have the sole authority to approve the contractors staffing plan and personnel; however, the ultimate hiring and firing decision of Contractor's employees will be made by Contractor. The Contractor will be subject to OCD-DRU direction, with the employees of Contractor subject to Contractor's direction. Unsatisfactory contractor employee performance will result in removal from further work at the sole discretion of OCD management.
- 2. Provide requested personnel acceptable to OCD-DRU management within (30) days of request.

HMGP

- 1. The contractor shall provide no less than 3,500 final payments, 3,500 global match packages, and 7,500 IMM payments for homeowner project folders for OCD-DRU approval by the end of year 1.
- 2. Submit training curricula and presentation materials that will be used to train call center personnel and mitigation analysts as well as initiate the training program.
- 3. The Contractor will create and submit a weekly "Pipe Line" report specifically for the HMGP. This "Pipe Line" report must include all activities that have been performed during the previous week with associated costs and cumulative activities to date. The format and content of this report must be approved by OCD and must include, at a minimum both weekly and/or to date totals for each of the following:
 - Homeowner Interest Letters Mailed and Returned Homeowner Interest Forms Processed
 - o Homeowners contacted via outbound mail (Broken out by subject matter such as award, clearance, ineligibility determinations, appeals, etc.)
 - o Homeowner Project Folders Actively Being Worked
 - o Number of In Bound Calls
 - Number of Outbound Calls
 - o Personal meetings with homeowners
 - Midpoint payments
 - Final payments
 - o Average statistics for all projects under review
 - o Award Calculation Activity/Match

- Call Center Activity and Performance Measurement Calculations (number of inbound and outbound calls, average hold time, call time, and call abandon rate), and number of homeowner project folders assembled.
- Policy and Training Activity
- o Quality Assurance/Control Activities
- o Other Activities as determined necessary by OCD-DRU
- 4. Provide monthly reports that will include the following:
 - A listing of all mitigation analysts activity that include the number of homeowners assigned and assisted, number of issues managed and resolved, as well as the homeowner status.
- 5. Ensure all required documents are produced on time and are complete and accurate.
- 6. Package HMGP projects in required format for submission to OCD-DRU for review before submission to GOHSEP for approval of disbursement request.
- 7. Ensure Program Compliance and Scope of Work (SOW) deliverables are met.
- 8. Provide documents required for monthly and quarterly closeout audits for homeowner project folders.
- 9. Maintain and staff OCD-DRU toll free mitigation helpline to answer Homeowner questions and concerns and perform routine functions as identified above.

CDBG Deliverable Due Dates:

Deliverable 1-2 – Within (30) days after receipt of request.

HMGP Deliverable Due Dates:

- <u>Deliverable 1</u> Within (1) year of signing contract and yearly thereafter for a period not to exceed the Term of Contract as defined in section 2.1 of RFP
- Deliverable 2 Within (15) calendar days after the start date of the contract.
- <u>Deliverable 3</u> Within (15) calendar days after the start date of the contract and weekly thereafter.
- <u>Deliverable 4</u> Within (30) calendar days after the start date of the contract and monthly thereafter.
- <u>Deliverable 5-9</u> Ongoing until contract completion.

Payment for all deliverables will be based on the rates given in the proposal, subject to the maximum amount quoted in the proposal or as otherwise negotiated and stated in the final contract.

Background Check

The Contractor must, at its expense, arrange for a background check for each of its employees, as well as the employees of any of its subcontractors, who will have access to state facilities, either through on-site access or through remote access. Background checks are to be conducted via the Request for Criminal Record Check form and procedure found at:

Bureau of Criminal Identification and Information Baton Rouge, LA 70896-6614 225-925-6095

http://www.lsp.org/who_support.html#criminal

http://www.lsp.org/pdf/crAuthorizationForm.pdf

Before the Office of Community Development will permit onsite access to the Contractor, any subcontractor, any of their employees or authorized representatives, the Contractor must provide written confirmation that the background checks have been conducted and no "findings' resulted.

Drug Screening

The Contractor must, at its expense, arrange for a drug screening for each of its employees, as well as the employees of any of its subcontractors, who will have access to state facilities and information, either through on-site access or through remote access. The Contractor must provide written confirmation that the drug tests have been conducted and no "findings" resulted.

ATTACHMENT II

PROPOSAL INFORMATION

1. Executive Summary

This section should serve to introduce the firm and acknowledge the scope of the proposal. It should include administrative information including, at a minimum, response date, proposer contact name and telephone number, and the stipulation that the proposal is valid for a time period of ninety (90) days from the date of submission.

It should include a positive statement of compliance with the contract terms. If the proposer cannot comply with any of the contract terms, an explanation of each exception should be supplied. The proposer should address the specific language in the sample contract, Attachment IV, and should submit whatever exceptions or exact contract modifications that its firm may seek to the sample contract. While final wording will be resolved during contract negotiations, the intent of the provisions will not be substantially altered.

2. Corporate Background/Experience/Financial Condition

The proposer should describe its firm by providing its full legal name, date of establishment, type of entity and business expertise, short history, current ownership structure and any recent or materially significant proposed change in ownership.

The proposer should give a brief description of its organization including a brief history, corporate structure and organization, number of years in business, and copies of the previous three years financial statements, preferably audited. The proposer should provide evidence of adequate financial stability through the most recent certified financial statements, including a balance sheet and income statement. The state reserves the right to request any additional information to assure itself of a proposer's financial status.

This section should provide a detailed discussion of the proposer's prior experience in working on projects similar in size, scope, and function to the proposed contract. Proposers should describe their experience in other states or in corporate/governmental entities of comparable size and diversity with three references from those entities, including names, email addresses and telephone numbers for those references.

For the CDBG, the proposer should describe its experience in complying with CDBG requirements, including but not limited to: environmental review; financial management and audits; homeowner and small rental disaster recovery housing; low income tax credits/piggyback housing; infrastructure; economic development; compliance and monitoring; policy and reporting including data analysts; permanent supportive housing and other homeless programs; acquisition and relocation; labor standards compliance; fair housing/equal opportunity; and other CDBG and HUD housing subject matters. The proposer should describe any prior engagements in which Proposer's firm assisted a governmental entity in dealings with CDBG and any other projects relating to this subject. Provide names and telephone numbers for references for all such engagements

For the HMGP, the proposer should describe its experience in complying with FEMA requirements, including but not limited to: accessibility requirements of the Americans with Disabilities Act;, and the implementing regulations at 44 CFR § 13.36(i) 1(i)-6(i); Executive Order 11246, Environmental Review Procedures 44 CFR Part 10, the National Environmental Policy Act regulations (43 FR 55978 (1978)), as applicable;, and requirements of the Uniform Relocation Act, if applicable. The proposer should include a positive statement of compliance with HMGP requirements. The proposer should describe any prior engagements in which Proposer's firm assisted a governmental entity in dealings with HMGP and any other projects relating to this subject. Provide names and phone numbers for references for all such engagements.

If the proposer intends to subcontract for portions of the work, the proposer should clearly identify any contractual arrangements and should include specific designations of the tasks to be performed by the subcontractor. Information required of the proposer under the terms of this RFP shall also be required for each subcontractor.

3. Qualifications of Proposed Staff/Project Manager

The proposer should provide detailed information about the experience and qualifications of the proposer's assigned personnel considered key to the success of the project. This includes the proposer's own staff and staff from any subcontractors to be used. The proposer's staff (and/or his subcontractor) should demonstrate the necessary experience and knowledge to manage the mitigation activities proposed. Resumes should be submitted with the proposal for Project Manager and all Key Personnel to include at least (1) resume for each category of personnel to be provided for CDBG to include Environmental Specialists, Acquisition Relocation Specialist, CDBG Housing Rehabilitation Specialists, Economic Development Specialist, Infrastructure Specialist, Research/Data Specialists, Financial Specialists, Administrative Specialists, and Federal Compliance Analyst. Also, at least (1) resume for each category of personnel to include Hazard Mitigation Analyst, and Call Center Personnel that will be assigned as part of the contract. Resumes should include all relevant work experience with name and phone numbers for reference contacts dealing with this experience. For the proposer's (or his subcontractor's) staff, this information should also include education, training, technical experience, functional experience, specific dates and names of employers, relevant and related experience, past and present projects with dates and responsibilities and any applicable certifications. This should also specifically include the role and responsibilities of each person on this project, their planned level of effort, their anticipated duration of involvement, and their on-site availability. Customer references (name, title, company name, address, email address and telephone number) should be provided for the cited projects in the individual resumes.

4. Approach and Methodology

Proposers should exhibit their understanding and approach to the project and address how each element will be accomplished. This section should serve to introduce the purpose and scope of the proposed project. The project should be cost-effective, with such costs not deviating substantially from the norm in that locale for the kind of activity.

The proposer should include a detailed implementation schedule. This schedule should include detailed start-up activities, implementation actions, milestones, timelines, and responsible parties for all properties to be mitigated.

5. Administrative Information

Provide completed Certification Statements as shown in Attachment III for the proposer.

ATTACHMENT III CERTIFICATION STATEMENT FOR PROPOSER

The undersigned hereby acknowledges she/he has read and understands all requirements and specifications of the Request for Proposals (RFP), including attachments.

OFFICIAL CONTACT- The State requests that the proposer designate one person to receive all documents and the method in which the documents are best delivered. Identify the Contact name and fill in the information below: (Print Clearly)

	Date: Official Contact Name:
	A. E-mail Address:
	B. Facsimile Number with area code: ()
	C. US Mail Address:
)	Proposer certifies that the above information is true and grants permission to the State of Agencies to contact the above named person or otherwise verify the information I have provided. By its submission of this proposal and authorized signature below, proposer certifies that: (1) The information contained in its response to this RFP is accurate; (2) Proposer complies with each of the mandatory requirements listed in the RFP and will meet or exceed the functional and technical requirements specified therein; (3) Proposer accepts the procedures, evaluation criteria, mandatory contract terms and conditions, and all other administrative requirements set forth in this RFP. (4) Proposer's quote is valid for at least ninety (90) days from the date of proposer's signature below; Proposer understands that if selected as the successful proposer, he/she will have thirty (30) business days from the date of delivery of final contract in which to complete contract negotiations, if any, and execute the final contract document.
	Authorized Signature:
	Typed or Printed Name:
	Title:
	Company Name:
	Address:
	City: State: Zip:
	SIGNATURE of Proposer's Authorized Representative DATE

ATTACHMENT IV SAMPLE CONTRACT

STATE OF LOUISIANA SAMPLE CONTRACT

On this day of , 2009, the State of Louisiana, Office of Community Development(OCD) hereinafter sometimes referred to as the "State", and [CONSULTANT'S NAME AND LEGAL ADDRESS INCLUDING ZIP CODE], hereinafter sometimes referred to as the "Contractor" or "[CONSULTANT NAME]", do hereby enter into a contract under the following terms and conditions.

1.0 SCOPE OF SERVICES

This agreement addresses contract provisions for supplemental staffing services to support the implementation of the Community Development Block Grant and Hazard Mitigation Grant Program. The Scope of Work addresses the contract support requirements for these services. The services to be performed are as follows:

<u>CDBG Supplemental Services:</u> Provide supplemental staffing services to support all activities and programs being administered by the OCD-DRU in the area of disaster recovery.

<u>HMGP Supplemental Services</u>: Provide supplemental staffing services to assist in the implementation of the Office of Community Development, Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP).

GOALS AND OBJECTIVES

See RFP General Information section 1.3

PERFORMANCE MEASURES

The performance of the contract will be measured by the OCD Managers, or designee, who is authorized on behalf of the State to evaluate the contractor's performance against the criteria in the RFP, Attachment I.

MONITORING PLAN

The OCD Managers, or designee, will monitor the services provided by the contractor and the expenditure of funds under this contract. See RFP, Attachment I for reporting requirements.

CONTRACTOR TASKS AND RESPONSIBILITIES

See RFP Attachment I: Scope of Work

DELIVERABLES

See RFP Attachment I: Scope of Work.

SUBSTITUTION OF KEY PERSONNEL

The Contractor's personnel assigned to this Contract may not be replaced without the written consent of the State. Such consent shall not be unreasonably withheld or delayed provided an adequately qualified replacement is offered. In the event that any State or Contractor personnel become unavailable due to resignation, illness, or other factors, excluding assignment to project outside this contract, outside of the State's or Contractor's reasonable control, as the case may be, the State or the Contractor, as the case may be, shall be responsible for providing an adequately qualified replacement in time to avoid delays in completing services.

2.0 ADMINISTRATIVE REQUIREMENTS

2.1 TERM OF CONTRACT

This contract shall begin on [DATE] and shall end on [DATE]. The term of the contract will be for (3) years. The contract may be extended to 4 or 5 years should State legislation be passed allowing for extended contract terms beyond 3 years.

2.2 STATE FURNISHED RESOURCES

State shall appoint a State Project Manager for this Contract and he will provide oversight of the activities conducted hereunder. Notwithstanding the Contractor's responsibility for management during the performance of this Contract, the assigned State Project Manager shall be the principal point of contact on behalf of the State and will be the principal point of contact for Contractor concerning Contractor's performance under this Contract.

If contractor staff is housed at a facility provided by the State, the State will provide contractor staff located in Baton Rouge, LA with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement.

2.3 TAXES

Contractor is responsible for payment of all applicable taxes from the funds to be received under this contract. Contractor's federal tax identification number is ______.

3.0 COMPENSATION AND MAXIMUM AMOUNT OF CONTRACT

The Contractor will not be paid more than the maximum amount of the contract.

3.1 PAYMENT TERMS

In consideration of the services required by this contract, State hereby agrees to pay to Contractor a maximum fee of \$______. Payments are predicated upon successful completion and written approval by the State of the described services and deliverables as provided in Section 1.0. Payments will be made to the Contractor after written acceptance by the

State of the approved deliverables and approval of an invoice. State will make every reasonable effort to make payments within 25 work days of the approval of invoice. Payment will be made only on approval of *State Project Manager*. The contractor will bill the Office of Community Development monthly for reimbursement under this contract. Support services will be billed based upon the actual hours incurred and the rate agreed upon with the successful contractor. **These rates will remain the same for the term of the contract.** The contractor shall submit separate invoices for CDBG and HMGP activities under the resulting contract. The total cost of all invoices for the supplemental services shall not exceed the maximum contract amount. Contractor staff will be paid the hourly rate while on field travel on behalf of the state under this contract.

All HMGP payments are subject to a ten (10%) percent retainage. The retained amounts will be administratively reserved, but not paid out to an escrow or other interest bearing account. Final payment of all retained amounts will be contingent upon the completion and acceptance of all contract deliverables, which may extend beyond the contract period. For HMGP, the release of amounts retained will be made upon approval of the State Project Manager and close out of individual properties by GOHSEP. For CDBG, there will be no retainage; however, OCD-DRU reserves the right to forbid unqualified or incompetent staff of Contractor to assist with the implementation of the Office of Community Development, Disaster Recovery Unit's (OCD-DRU) administration of CDBG and HMGP. Any employee deemed unfit or unqualified to assist with the implementation of OCD-DRU's administration of CDBG or HMGP programs will be returned to the Contractor. The Contractor will then have the sole discretion of whether to retain the employee to work on other projects not associated with this contract. The level of hiring by Contractor to assist OCD-DRU with administration of CDBG programs is not expected to exceed fifty (50) personnel; OCD-DRU does not guarantee any level of staffing and reserves the right to either increase or decrease the level of staffing requirements as needed. Travel expenses directly related to field travel on behalf of OCD/DRU will be paid in accordance with PPM 49, State Travel Regulations. No other travel expenses or direct costs will be reimbursed under the contract.

Contractor will be continually evaluated in the satisfactory accomplishment of services under the Contract. Satisfactory performance of the contractor in accomplishing the services will be subject to the approval by the State Project Manager. The Contractor will be responsible for evaluating the individual performance of its employees and/or staff.

3.2 PENALTIES

HMGP

After the end of each year, a \$500 penalty will be assessed for each final payment under the goal of 3,500 final payments that have not been received by OCD-DRU. If the retainage is not adequate to cover assessed penalties, the penalties will be deducted from the next payment rendered to the contractor.

After the end of each year, a \$500 penalty will be assessed for each global match package submission under the goal of 3,500 global package submissions that have not been received. If

the retainage is not adequate to cover assessed penalties, the penalties will be deducted from the next payment rendered to the contractor.

After the end of each year, a \$500 penalty will be assessed for each IMM payment under the goal of 7,500 IMM payments that have not been received by OCD-DRU. If the retainage is not adequate to cover assessed penalties, the penalties will be deducted from the next payment rendered to the contractor.

For each work day Deliverables 2- 4 identified below is past due, a \$500 penalty will be assessed. If the retainage is not adequate to cover assessed penalties, the penalties will be deducted from the next payment rendered to the contractor.

4.0 TERMINATION

4.1 TERMINATION FOR CAUSE

State may terminate this Contract for cause based upon the failure of Contractor to comply with the terms and/or conditions of the Contract; provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have either corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct said failure and thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the Contract shall terminate on the date specified in such notice. Failure to perform within the time specified in the solicitation will constitute a default and may cause cancellation of the contract. Where the State has determined the Contractor to be in default, the State reserves the right to obtain any or all products or services covered by the contract on the open market and to charge the contractor with cost in excess of the contract price. Until such assessed charges have been paid, no subsequent proposal from the defaulting contractor will be considered.

Contractor may terminate this Contract for cause based upon the failure of State to comply with the terms and/or conditions of the Contract; provided that the Contractor shall give the State written notice specifying the State's failure. If within thirty (30) days after receipt of such notice, the State shall not have either corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct said failure and thereafter proceeded diligently to complete such correction, then the Contractor may, at its option, place the State in default and the Contract shall terminate on the date specified in such notice. Failure to perform within the time specified in the solicitation will constitute a default and may cause cancellation of the contract.

4.2 TERMINATION FOR CONVENIENCE

State may terminate the Contract at any time without penalty by giving thirty (30) days written notice to the Contractor of such termination or negotiating with the Contractor an effective date. Contractor shall be entitled to payment for deliverables in progress; to the extent work has been performed satisfactorily.

4.3 TERMINATION FOR NON-APPROPRIATION OF FUNDS

The continuation of this contract is contingent upon the appropriation of funds by the legislature to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act of Title 39 of the Louisiana Revised Statutes of 1950 to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds have not been appropriated.

5.0 INDEMNIFICATION AND LIMITATION OF LIABILITY

5.1 General Indemnity Language

Neither party shall be liable for any delay or failure in performance beyond its control resulting from acts of God or force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such events upon performance of their respective duties under Contract. Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and hold harmless the State and its Authorized Users from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by Contractor, its agents, employees, partners or subcontractors, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the State.

5.2 Indemnity Relating to Use of Protected Process or Product

Contractor will indemnify, defend and hold the State and its Authorized Users harmless, without limitation, from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs which may be finally assessed against the State in any action for infringement of a United States Letter Patent with respect to the Products furnished, or of any copyright, trademark, trade secret or intellectual property right, provided that the State shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the State or its Authorized Users may require Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as the Commissioner of Administration shall require. The Contractor shall not be obligated to indemnify that portion of a claim or dispute based upon: (i) Authorized User's unauthorized modification or alteration of a Product; (ii) Authorized User's use of the Product in combination with other products not furnished by Contractor; and (iii) Authorized User's use in other than the specified operating conditions and environment.

In addition to the foregoing, if the use of any item(s) or part(s) thereof shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion as the Authorized User's exclusive remedy to take action in the following order of precedence: (i) to procure for the State the right to continue using such item(s) or part (s) thereof, as applicable; (ii) to modify the component so that it becomes non-infringing equipment of at least equal quality and performance; or (iii) to replace said item(s) or part(s) thereof, as applicable, with non-infringing components of at least equal quality and performance, or (iv) if none of the foregoing is commercially reasonable, then provide monetary compensation to the State up to the dollar amount of the Contract.

For all other claims against the Contractor where liability is not otherwise set forth in the Contract as being "without limitation", and regardless of the basis on which the claim is made, Contractor's liability for direct damages, shall be two (2) times the maximum amount of the contract. Unless otherwise specifically enumerated herein, neither party shall be liable to the other for special, indirect or consequential damages, including lost data or records (unless the Contractor is required to back-up the data or records as part of the work plan), even if the party has been advised of the possibility of such damages. Neither party shall be liable for lost profits, lost revenue or lost institutional operating savings. The State and Authorized User may, in addition to other remedies available to them at law or equity and upon notice to the Contractor, retain such monies from amounts due Contractor, or may proceed against the performance and payment bond, if any, as may be necessary to satisfy any claim for damages, penalties, costs and the like asserted by or against them.

6.0 CONTRACT CONTROVERSIES

Any claim or controversy arising out of the contract shall be resolved by the provisions of Louisiana Revised Statutes 39:1524-26.

7.0 FUND USE

Contractor agrees not to use contract proceeds to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition on any election ballot or a proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority.

Contractor and all Subcontractors shall certify that they have complied with the Byrd Anti-Lobbying Amendment (31 U.S.C. 1352) and that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Contractor and each Subcontractor shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award.

8.0 ASSIGNMENT

No contractor shall assign any interest in this contract by assignment, transfer, or novation, without prior written consent of the State. This provision shall not be construed to prohibit the contractor from assigning to a bank, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State.

9.0 RIGHT TO AUDIT

The OCD, the State of Louisiana Legislative auditor, federal auditors and the Division of Administration ("DOA"), or others so designated by the DOA or the OCD, shall have the option to audit and/or inspect all accounts directly pertaining to the Agreement for a period of five (5) years from the date of the closeout of this Agreement. Records shall be made available during normal working hours for this purpose.

10.0 CONTRACT MODIFICATION

No amendment or variation of the terms of this contract shall be valid unless made in writing, signed by the parties and approved as required by law. No oral understanding or agreement not incorporated in the contract is binding on any of the parties.

11.0 CONFIDENTIALITY OF DATA

All financial, statistical, personal, technical and other data and information relating to the State's operation and made available to the contractor in order to carry out this contract, or which become available to the contractor in carrying out this contract, shall be protected by the contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by the State in writing to the contractor. If the methods and procedures employed by the contractor for the protection of the Contractor's data and information are deemed by the State to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of the State, to carry out the intent of this paragraph. The contractor shall not be required under the provisions of the paragraph to keep confidential any data or information which is or becomes publicly available, is already rightfully in the contractor's possession, is independently developed by the contractor outside the scope of the contract, or is rightfully obtained from third parties.

All of the reports, information, data, et cetera, prepared or assembled by Contractor under this Contract are confidential and Contractor agrees that they shall not be made available to any individual or organization without the prior written approval of the OCD. This does not extend to information that was obtained from the public domain such as public agencies or sources of information available to the general public.

Under no circumstance shall the contractor discuss and/or release information concerning this project without prior express written approval of OCD.

12.0 SUBCONTRACTORS

The Contractor may, with prior written permission from the State, enter into subcontracts with third parties for the performance of any part of the Contractor's duties and obligations. In no event shall the existence of a subcontract operate to release or reduce the liability of neither the Contractor nor the Subcontractor to the State and/or State Agency for any breach in the performance of the Contractor's or Subcontractor duties.

13.0 COMPLIANCE WITH CIVIL RIGHTS LAWS

The contractor agrees to abide by the requirements of the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, the Federal Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Act of 1975, and contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under this contract without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, or disabilities. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

14.0 GENERAL COMPLIANCE

The contractor will agree with all applicable Federal, state, and local laws and all applicable Office of Management and Budget Circulars (http://www.whitehouse.gov/omb/circulars/). See Statement of Assurances attached to and made apart hereof.

15.0 FINANCIAL MANAGEMENT

Contractor shall agree to comply with 48 CFR § 31 and 24 CFR § 85 and agree to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred. The contractor is responsible for having all subcontractors comply with 48 CFR § 31 and agree to adhere the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.

Contractor shall administer its program in conformance with OMB Circulars A-87 Cost Principles for State and Local Government as applicable. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis. The contractor is responsible for having all subcontractors and project sponsors administer their programs in conformance with

OMB Circulars A-87 Cost Principles for State and Local Government as applicable. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis.

16.0 DOCUMENTATION AND RECORD KEEPING

Contractor shall maintain all records required by the Federal regulations specified in 44 CFR §13.42 that are pertinent to the activities to be funded as proposed. The contractor is responsible for having all subcontractors maintain all records required by the Federal regulations specified in 44 CFR §13.42, which are pertinent to the activities to be funded as proposed.

Contractor shall retain all financial records, supporting documents, statistical records, and all other pertinent records for a period of five (5) years after final contract payment. The contractor is responsible for having all subcontractors retain all financial records, supporting documents, statistical records, and all other pertinent records for a period of five (5) years after final contract payment.

17.0 PROHIBITED ACTIVITY

Contractors are prohibited from using funds provided herein or personnel employed in the administration of the program for: political activities, inherently religious activities, lobbying, political patronage, and nepotism activities. The contractor is responsible for ensuring that all subcontractors understand and comply with the prohibitions from using funds provided herein or personnel employed in the administration of the program for political activities, inherently religious activities, lobbying, political patronage, and nepotism activities.

18.0 CONFLICT OF INTEREST

Contractors are required to comply with the conflict of interest provisions and other related regulations contained in 44 CFR, Section 13.36.

19.0 LABOR STANDARDS

For the CDBG, Contractor shall agree to comply with the requirements of 29 CFR Part 5 and CFR Part 30 and shall be in conformity with Executive Order 11246, entitled "Equal Employment Opportunity; Copeland "Anti-Kickback" Act (29 CFR Part 3), the Davis-Bacon and Related Acts (29 CFR Parts 1, 3 and 5), the Contract Work Hours and Safety Standards Act (40 U.S.C. 3701 et seq.), and all other applicable Federal, state and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this contract. The contractor is responsible for ensuring that all subcontractors comply with the requirements of 29 CFR Part 5 and CFR Part 30 and shall be in conformity with Executive Order 11246 entitled "Equal Employment Opportunity", Copeland "Anti-Kickback" Act, the Davis-Bacon and Related Acts (29 CFR Parts 1, 3 and 5), the Contract Work Hours and Safety Standards Act (40 U.S.C. 3701 et seq.), and all other applicable Federal, State and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this contract.

For the HMGP, Contractor shall agree to comply with the requirements of 44 CFR § 13.36 (1(i) to 6(i)), as it pertains to Executive Order 11246, entitled "Equal Employment Opportunity", Copeland "Anti-Kickback" Act, the Davis-Bacon (40 U.S.C. 276a to 276a-7), § 103 and 107 of the Contract Work Hours and Safety Standards Act, and all other applicable Federal, state and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this contract. The contractor is responsible for ensuring that all subcontractors comply with the requirements of the 44 CFR § 13.36 (1(i)-6) as it pertains to Executive Order 11246, entitled "Equal Employment Opportunity", Copeland "Anti-Kickback" Act, the Davis-Bacon (40 U.S.C. 276a to 276a-7), § 103 and 107 of the Contract Work Hours and Safety Standards Act, and all other applicable Federal, State and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this contract.

20.0 ENVIRONMENTAL CONDITIONS

For the HMGP, the Contractor shall agree to comply, insofar as they apply to the performance of this contract, with all applicable standards, orders or regulations issued pursuant to FEMA Environmental Review Procedures 44 CFR Part 10, as it pertains to the National Environmental Policy Act regulations (43 FR 55978 (1978)), Executive Order 1191, 42 FR 26967 (1977) and the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470); 44 CFR § 13.36 (i) (12) as it pertains to § 306 of the Clean Water Act, Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15). The contractor is responsible for ensuring that all subcontractors comply, insofar as they apply to the performance of this contract, with all applicable standards, orders or regulations issued pursuant to FEMA Environmental Review Procedures 44 CFR Part 10, as it pertains to the National Environmental Policy Act regulations (43 FR 55978 (1978)), Executive Order 1191, 42 FR 26967 (1977) and the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470); 44 CFR § 13.36 (i) (12) as it pertains to § 306 of the Clean Water Act, Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15).

21.0 OWNERSHIP OF DOCUMENTS

All records, reports, documents, or other material or data, including electronic data, related to this Agreement and/or obtained or prepared by Consultant, and all repositories and databases compiled or used, regardless of the source of information included therein, in connection with performance of the Services contracted for herein shall become the property of the OCD, and shall, upon request, be returned by Consultant to the OCD at termination or expiration of this Agreement. Cost incurred by Consultant to compile and transfer information for return to the OCD shall be billed on a time and materials basis, subject to the maximum amount of this Agreement. Software and other materials owned by Consultant prior to the date of this Agreement and not related to this Agreement shall be and remain the property of Consultant.

22.0 CLOSE-OUTS

Contractor shall agree to comply with the requirements of 44 CFR Sec. 13.50 and 44 CFR sec. 13.42 for project closure. Contractor's obligation to OCD shall not end until all close out requirements are complete. These may include but are not limited to:

- Final performance or progress report
- Financial Status Report (SF 269) or Outlay Report and Request for Reimbursement for Construction Programs (SF 271) (as applicable)
- Final request for payment (SF 270) (if applicable)
- Invention disclosure (if applicable)
- Federally-owned property report

23.0 INSURANCE

Insurance shall be placed with insurers with an A.M. Best's rating of no less than A-VI. This rating requirement shall be waived for Worker's Compensation coverage only.

Contractor's Insurance: The Contractor shall not commence work under this contract until he has obtained all insurance required herein. Certificates of Insurance, fully executed by officers of the Insurance Company written or countersigned by an authorized Louisiana state agency, shall be filed with the State of Louisiana for approval. The Contractor shall not allow any sub-contractor to commence work on his subcontract until all similar insurance required for the subcontractor has been obtained and approved. If so requested, the Contractor shall also submit copies of insurance policies for inspection and approval of the State of Louisiana before work is commenced. Said policies shall not hereafter be canceled, permitted to expire, or be changed without thirty (30) days notice in advance to the State of Louisiana and consented to by the State of Louisiana in writing and the policies shall so provide.

Compensation Insurance: Before any work is commenced, the Contractor shall maintain during the life of the contract, Workers' Compensation Insurance for all of the Contractor's employees employed at the site of the project. In case any work is sublet, the Contractor shall require the subcontractor similarly to provide Workers' Compensation Insurance for all the latter's employees, unless such employees are covered by the protection afforded by the Contractor. In case any class of employees engaged in work under the contract at the site of the project is not protected under the Workers' Compensation Statute, the Contractor shall provide for any such employees, and shall further provide or cause any and all subcontractors to provide Employer's Liability Insurance for the protection of such employees not protected by the Workers' Compensation Statute.

Commercial General Liability Insurance: The Contractor shall maintain during the life of the contract such Commercial General Liability Insurance which shall protect him, the State, and any subcontractor during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as for claims for property damages, which may arise from operations under the contract, whether such operations be by himself or by a subcontractor, or by anyone directly or indirectly employed by either or them, or in such a manner as to impose liability to the State. Such insurance shall name the State as additional insured for claims arising from or as the result of the operations of the Contactor or his subcontractors. In the absence of specific regulations, the amount of coverage shall be as

follows: Commercial General Liability Insurance, including bodily injury, property damage and contractual liability, with combined single limits of \$1,000,000.

Insurance Covering Special Hazards: Special hazards as determined by the State shall be covered by rider or riders in the Commercial General Liability Insurance Policy or policies herein elsewhere required to be furnished by the Contractor, or by separate policies of insurance in the amounts as defined in any Special Conditions of the contract included therewith.

Licensed and Non-Licensed Motor Vehicles: The Contractor shall maintain during the life of the contract, Automobile Liability Insurance in an amount not less than combined single limits of \$1,000,000 per occurrence for bodily injury/property damage. Such insurance shall cover the use of any non-licensed motor vehicles engaged in operations within the terms of the contract on the site of the work to be performed there under, unless such coverage is included in insurance elsewhere specified.

Subcontractor's Insurance: The Contractor shall require that any and all subcontractors, which are not protected under the Contractor's own insurance policies, take and maintain insurance of the same nature and in the same amounts as required of the Contractor.

24.0 EMPLOYMENT AND TRAINING

Contractor agrees to comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3) insofar as this federal statute applies to the performance of this Agreement. The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing. HUD-assisted projects covered by Section 3 are those defined in 24 CFR 135.3 (a) (2) and (a)(3).

25.0 APPLICABLE LAW

This contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana. Venue of any action brought with regard to this contract shall be in the Nineteenth Judicial District Court, parish of East Baton Rouge, State of Louisiana.

26.0 DRUG-FREE WORKPLACE REQUIREMENT

Contractor and Subcontractors will certify that they have provided a drug-free workplace in compliance with The Drug-Free Workplace Act of 1988 (42 U.S.C. 701) and with HUD's rules at 24 CFR part 24, subpart F.

27.0 CLEAN AIR ACT, CLEAN WATER ACT AND OTHER REQUIREMENTS

Contractor agrees to comply with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C. 1857 (h)), section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15).

28.0 OWNERSHIP OF DOCUMENTS AND STATE FURNISHED RESOURCES

All records, reports, documents, or other material or data, including electronic data, related to this Agreement and/or obtained or prepared by Contractor, and all repositories and databases compiled or used, regardless of the source of information included therein, in connection with performance of the Services contracted for herein shall become the property of the OCD, and shall, upon request, be returned by Contractor to the OCD at termination or expiration of this Agreement. Cost incurred by Contractor to compile and transfer information for return to the OCD shall be billed on a time and materials basis, subject to the maximum amount of this Agreement. Software and other materials owned by Contractor prior to the date of this Agreement and not related to this Agreement shall be and remain the property of Contractor.

29.0 DELAY OR OMISSION

No delay or omission in the exercise or enforcement of any right or remedy accruing to a Party under this Agreement shall impair such right or remedy or be construed as a waiver of any breach theretofore or thereafter occurring. The waiver of any condition or the breach of any term, covenant, or condition herein or therein contained shall not be deemed to be a waiver of any other condition or of any subsequent breach of the same or any other term, covenant or condition herein or therein contained.

30.0 ELIGIBILITY STATUS

Contractor, and each tier of Subcontractors, shall certify that it is not on the List of Parties Excluded from Federal Procurement or Non-procurement Programs promulgated in accordance with E.O.s 12549 and 12689, "Debarment and Suspension," as set forth at 24 CFR part 24.

31.0 LEGAL AUTHORITY

Contractor assures and guarantees that it possesses the legal authority, pursuant to any proper, appropriate and official motion, resolution or action passed or taken, giving the Contractor legal authority to enter into this Agreement, receive funds, authorized by this Agreement and to perform the services the Contractor is obligated to perform under this Agreement.

32.0 SECTION 109 OF THE HOUSING AND COMMUNITY DEVELOPMENT ACT OF 1974

No person in the United States shall on the grounds of race, color, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under Section 109 of Title I of the Housing and Community Development Act of 1974. Section 109 further provides that discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to an otherwise qualified handicapped individual as provided in Section 504 of the Rehabilitation Act of 1973, as amended, is prohibited.

33.0 ENERGY EFFICIENCY

Contractor shall recognize mandatory standards and policies relating to energy efficiency, which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act to the extent applicable to Contractor and its Subcontractors. The OCD/DRU will provide such standards and policies to Contractor as a pre-condition of this stipulation.

34.0 COVENANT AGAINST CONTINGENT FEES AND CONFLICT OF INTEREST.

Contractor shall warrant that no person or other organization has been employed or retained to solicit or secure this Agreement upon contract or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant, the State shall have the right to annul this Contract without liability or, in its discretion, to deduct from the Contract or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee, or to seek such other remedies as legally may be available.

No member, officer, or employee of Contractor, or agents, consultant, member of the governing body of Contractor or the locality in which the program is situated, or other public official who exercises or has exercised any functions or responsibilities with respect to this Agreement during his or her tenure, shall have any interest, direct or indirect, in any contract or subcontract, or the proceeds thereof, for work to be performed in connection with the Agreement or in any activity or benefit, which is part of this Agreement.

However, upon written request of Contractor, the State may agree in writing to grant an exception for a conflict otherwise prohibited by this provision whenever there has been full public disclosure of the conflict of interest, and the State determines that undue hardship will result either to Contractor or the person affected by applying the prohibition and that the granting of a waiver is in the public interest. No such request for exception shall be made by Contractor which would, in any way, permit a violation of State or local law or any statutory or regulatory provision.

35.0 CODE OF ETHICS

The contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the Performance of services called for in this contract. The contractor agrees to immediately notify the state if potential violations of the Code of Governmental Ethics arise at any time during the term of this contract.

36.0 SEVERABILITY

If any term or condition of this Contract or the application thereof is held invalid, such invalidity shall not affect other terms, conditions, or applications which can be given effect without the invalid term, condition, or application; to this end the terms and conditions of this Contract are declared severable.

37.0 ENTIRE AGREEMENT CLAUSE

This contract, together with the RFP and addenda issued thereto by the State, the proposal submitted by the Contractor in response to the State's RFP, and any exhibits specifically incorporated herein by reference, constitute the entire agreement between the parties with respect to the subject matter.

38.0 ORDER OF PRECEDENCE

This contract shall, to the extent possible, be construed to give effect to all of its provisions; however, where provisions are in conflict, first priority shall be given to the provisions of the contract, excluding the Request for Proposals, its amendments and the Proposal; second priority shall be given to the provisions of the Request for Proposals and its amendments; and third priority shall be given to the provisions of the Proposal.

39.0 NOTICES

Any notice required or permitted to be given under or in connection with this Agreement shall be in writing and shall be either hand-delivered or mailed, postage prepaid by first-class mail, registered or certified, return receipt requested, or delivered by private, commercial carrier, express mail, such as Federal Express, or sent by, telecopy or other similar form of rapid transmission confirmed by written confirmation mailed (postage prepaid by first-class mail, registered or certified, return receipt requested or private, commercial carrier, express mail, such as Federal Express) at substantially the same time as such rapid transmission. All such communications shall be transmitted to the address or numbers set forth below, or such other address or numbers as may be hereafter designated by a Party in written notice to the other Party compliant with this Section.

To the OCD:

Paul Rainwater
State of Louisiana
Division of Administration
Office of Community Development
P.O. Box 94095
Baton Rouge, Louisiana 70804-9095
Facsimila: 225, 219, 9606

Facsimile: 225-219-9605
To the Contractor:

IN WITNESS THEREOF, the parties have by their duly authorized representative set their signatures.

CONTRACTOR	STATE OF LOUISIANA		
	DIVISION OF ADMINISTRATION		
BY:	BY:		
Name	Paul Rainwater		
Title	Executive Director, Disaster Recovery Unit		
	State of Louisiana		
Date:	Date:		
	BY:		
	Angele Davis		
	Commissioner of Administration,		
	State of Louisiana		
	Date:		
WITNESSES SIGNATURES:	WITNESSES SIGNATURES:		

Statement of Assurances

As the contractor for the State of Louisiana, Division of Administration, Office of Community Development, I certify that I:

CDBG

- 1. It will comply with the following applicable federal grant management regulations, policies, guidelines, and/or requirements as they relate to the application, acceptance, and use of federal funds: OMB Circular A-87 and A-102, as amended and made part of State regulations; OMB Circular A-133, revised; OMB Circular A-21 (for educational institutions) or A-122 (for non-profit organizations); and 24 CFR 85.36.
- 2. It will administer and enforce the labor standards requirements set forth in 24 CFR 570.603 and any other regulations issued to implement such requirements.
- 3. It will comply with the provisions of Executive Order 11296, relating to evaluation of flood hazards, and Executive Order 11288, relating to the prevention, control and abatement of water pollution.
- 4. It will require every building or facility (other than a privately owned residential structure) designed, constructed, or altered with funds provided to Applicant/Grantee/Subrecipient to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A-117.1-R 1971, subject to the exceptions contained in 41 CFR 101-19.604. The Applicant/Grantee/Subrecipient will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.

5. It will comply with:

- a. Title VI of the Civil Rights Acts of 1964 (Pub. L. 88-252), as amended, and the regulations issued pursuant thereto (24 CFR Part 1), which provide that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant/Grantee/Subrecipient receives federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant/Grantee/Subrecipient, this assurance shall obligate the Applicant/Grantee/Subrecipient, or in the case of any transfer of such property, any transferee, for the period during which the property or structure is used for another purpose involving the provision of similar services or benefits.
- b. Section 104 (b) (2) of Title VIII of the Civil Rights Act of 1968 (Public Law 90-284), as amended, which requires administering all programs and activities relating to housing and community development in a manner to affirmatively further fair housing. Title VIII further prohibits discrimination against any person in the sale or rental of housing, or the provision of brokerage services, including

- in any way making unavailable or denying a dwelling to any person, because of race, color, religion, sex, national origin, handicap or familial status.
- c. Section 109 of the Housing and Community Development Act of 1974, and the regulations issued pursuant thereto (24 CFR Part 570.602), which provides that no person in the United States shall, on the grounds of race, color, national origin, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with funds provided under that Part. Section 109 further prohibits discrimination to an otherwise qualified individual with a handicap, as provided under Section 504 of the Rehabilitation Act of 1973, as amended, and prohibits discrimination based on age as provided under the Age Discrimination Act of 1975.
- d. Executive Order 11063, which pertains to equal opportunity in housing and non-discrimination in the sale or rental of housing built with federal assistance.
- e. Executive Order 11246 and the regulations issued pursuant thereto, which provide that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of federal or federally assisted construction contracts. Further, contractors and subcontractors on federal and federally assisted construction contracts shall take affirmative action to insure fair treatment in employment, upgrading, demotion, or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training and apprenticeship.
- 6. It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended, requiring that to the greatest extent feasible, opportunities for training and employment be given to lower-income residents of the project area and contracts for work in connection with the project be awarded to eligible Section 3 business concerns.
- 7. It will minimize displacement of persons as a result of activities assisted with CDBG funds. In addition, it will:
 - a. comply with Title II (Uniform Relocation Assistance) and Sections 301-304 of Title III (Uniform Real Property Acquisition Policy) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, and HUD implementing instructions at 24 CFR Part 42 and 24 CFR 570.606; and
 - b. inform affected persons of their rights and of the acquisition policies and procedures set forth in the regulations at 24 CFR Part 42; and
 - c. provide relocation payments and offer relocation assistance as described in Section 205 of the Uniform Relocation Assistance Act to all persons displaced as a result of acquisition of real property for an activity assisted under the CDBG Program. Such payments and assistance shall be provided in a fair, consistent and equitable manner that ensures that the relocation process does not result in different or separate treatment of such persons on account of race, color, religion, national origin, sex or source of income; and
 - d. assure that, within a reasonable period of time prior to displacement, comparable decent, safe and sanitary replacement dwellings will be available to all displaced families and individuals and that the range of choices available to such persons

- will not vary on account of their race, color, religion, national origin, sex, or source of income; and
- e. follow a residential anti-displacement and relocation assistance plan and comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as required under Section 570.606(a) and HUD implementing regulations at 24 CFR Part 42; the requirements in Section 570.606(b) governing the residential anti-displacement and relocation assistance plan under Section 104(d) of the Housing and Community Development Act of 1974; the relocation requirements of Section 505.606(c) governing displacement subject to Section 104(k) of the Act; and the relocation requirements of Section 505.606(d) governing optional relocation assistance under Section 105(a)(11) of the Act.
- 8. It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
- 9. It will comply with the provisions of the Hatch Act that limits the political activity of employees.
- 10. It will give the State and HUD, and any of their representatives or agents, access to and the right to examine all records, books, papers, or documents related to the grant.
- 11. The facilities under Applicant/Grantee/Subrecipient's ownership, lease or supervision utilized in the accomplishment of the CDBG Program are not listed on the Environmental Protection Agency's (EPA) list of violating facilities and that it will notify HUD of the receipt of any communication from the EPA Office of Federal Activities indicating that a facility to be used in the CDBG Program is being considered for listing by the EPA as a violating facility.
- 12. It will, in connection with its performance of environmental assessments under the National Environmental Policy Act of 1969, comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C.470), Executive Order 11593, and the Preservation of Archeological and Historical Data Act of 1966 (16 U.S.C. 469a-1, et. seq.). This will be done by:
 - a. consulting with the State Historic Preservation Office to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the proposed activity; and
 - b. complying with all requirements established by the State to avoid or mitigate adverse effects upon such properties.
- 13. It will comply with the provisions in 24 CFR 570.200(c) regarding special assessments to recover capital costs.
- 14. It will comply with all requirements of Section 504 of the Rehabilitation Act of 1973, as amended.

- 15. It will adopt and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in non-violent Civil Rights demonstrations in accordance with Section 519 of Public Law 101-1448 (the 1990 HUD Appropriations Act).
- 16. It certifies that no federally appropriated funds will be used for any lobbying purposes regardless of the level of government.
- 17. It will administer and enforce the conflict of interest requirement set forth in 24 CFR 570.611.

18. General Compliance

The contractor agrees to comply with the applicable requirements of title 24 of the Code of Regulations Part 570 (http://www.gpoaccess.gov/cfr/index.html) including subpart K of these regulations. The contractor also agrees with all other applicable Federal, state, and local laws and all applicable Office of Management and Budget Circulars (http://www.whitehouse.gov/omb/circulars/).

19. Performance Monitoring

OCD-DRU will monitor the performance of the contractor against goals and performance standards. Substandard performance as determined by OCD-DRU will constitute noncompliance with this Agreement. If action to correct such substandard performance is not taken by the contractor within a reasonable period of time after being notified by OCD, contract suspension or termination procedures will be initiated.

20. Financial Management

a. Accounting Standards

The contractor agrees to comply with 24 CFR 84.21–28 or 24 CFR 85.21 and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.

b. Cost Principles

The contractor shall administer this contract in conformance with OMB Circular A-87 "Cost Principles for State and Local Government as applicable. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis.

21. Documentation and Record Keeping

a. Records to be Maintained

The contractor shall maintain all records required by the Federal regulations specified in 24 CFR 570.506, that are pertinent to the activities to be funded under this Agreement. Such records shall include but not be limited to:

Records providing a full description of each activity undertaken;

- Records demonstrating that each activity undertaken meets one of the National Objectives of the CDBG program;
- ii) Records required for determination of the eligibility of activities;
- iii) Records required to document the acquisition, improvement, use or disposition of real property acquired or improved with CDBG assistance;
- iv) Records documenting beneficiaries' compliance with the fair housing and equal opportunity components of the CDBG program; v) Financial records as required by 24 CFR 570.502, 24 CFR 84.21–28 and 24 CFR 85.21; and
 - vi) Other records necessary to document compliance with Subpart K of 24 CFR Part 570.

b. Retention

The contractor shall retain all financial records, supporting documents, statistical records, and all other records pertinent to the Agreement for a period of five (5) years from project closeout. Notwithstanding the above, if there is litigation, claims, audits, negotiations or other actions that involve any of the records cited and that have started before the expiration of the five-year period, then such records must be retained until completion of the actions and resolution of all issues, or the expiration of the five-year period, whichever occurs later.

22. Close-outs

The contractor's obligation to OCD shall not end until all close-out requirements are completed. Activities during this close-out period shall include, but are not limited to: making final payments, disposing of program assets (including the return of all unused materials, equipment in so far as required by 24 CFR 84.34, unspent cash advances, program income balances, and accounts receivable to OCD, and determining the custodianship of records. Notwithstanding the foregoing, the terms of this Agreement shall remain in effect during any period that Parish has control over CDBG funds, including program income.

23. Procurement

a. Compliance

Parish shall conduct all procurement transactions in a manner providing for full and open competition and comply with the applicable procurement regulations. Sub-recipient shall provide Parish with executed copies of all subcontracts along with documentation concerning the selection process. All program assets (unexpended program income, etc.) shall revert to the OCD upon termination of this Agreement. Requirements regarding reversion of Equipment shall conform to 24 CFR 84.34.

b. OMB Standards

Unless specified otherwise within this agreement, Parish shall procure all materials, property, or services in accordance with the requirements of 24 CFR 84.40–48 or 24 CFR 85.36.

c. Indirect Costs

Indirect costs may not be charged to the grant proceeds or as administrative expenses by Parish or sub-recipients.

d. Utilization of Small, Minority and Women's Owned Enterprises.

Parish shall make positive efforts to insure that sub-recipients utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible following the steps outlined in 24 CFR 84.44(b) Procurement for Non-Profit organizations or 24 CFR 85.36(e) Procurement for Local Governments as applicable.

e. Sole Source Procurement

Parish shall specifically identify all awards of sole source contracts and the rationale for making the award on a sole source basis in reports to OCD. All sole-source procurements will be reported to the U.S. Congress as per PL 109-148.

24. Program Income

The contractor shall report quarterly any program income (as defined at 24 CFR 570.500(a)) generated by activities carried out with CDBG funds made available under this contract. The use of program income shall comply with the requirements set forth at 24 CFR 570.504. Program income shall be remitted to OCD upon collection by Parish.

25. Prohibited Activity

The contractor is prohibited from using funds provided herein or personnel employed in the administration of the program for: political activities, inherently religious activities, lobbying, political patronage, and nepotism activities.

26. Section 3 compliance in the provision of training, employment and business opportunities

The contractor agrees to comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3) insofar as this federal statute applies to the performance of this Agreement. The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing. HUD-assisted projects covered by Section 3 are those defined in 24 CFR 135.3 (a) (2) and (a)(3).

27. Labor Standards

The contractor agrees to comply with the applicable requirements of the Secretary of Labor in accordance with the Davis-Bacon Act as amended, the provisions of Contract Work Hours and Safety Standards Act (40 U.S.C. 327 et seq.) and all other applicable Federal, state and local laws and regulations pertaining to labor standards.

28. Conflict of Interest

The contractor agrees to abide by the provisions of 24 CFR 84.42 and 570.611, which include (but are not limited to) the following:

- a. The contractor shall maintain a written code or standards of conduct that shall govern the performance of its officers, employees or agents engaged in the award and administration of contracts supported by Federal funds.
- b. No employee, officer or agent of the sub-recipient shall participate in the selection, or in the award, or administration of, a contract supported by Federal funds if a conflict of interest would be involved.
- c. No covered persons who exercise or have exercised any functions or responsibilities with respect to CDBG-assisted activities, or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a financial interest in any contract, or have a financial interest in any contract, subcontract, or agreement with respect to the CDBG-

assisted activity, or with respect to the proceeds from the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for a period of one (1) year thereafter. For purposes of this paragraph, a "covered person" includes any person who is an employee, agent, consultant, or officer.

29. Debarment or Suspension

No funds provided under this award may be used to pay salaries of employees or costs of consultants, contractors, or other service providers where such individuals are currently under suspension or debarment by the federal government. The contractor is responsible for verifying that its contractors, and each tier of subcontractors, are not on the List of Parties Excluded from Federal Procurement or Non-procurement Programs promulgated in accordance with E.O.s 12549 and 12689, "Debarment and Suspension," as set forth at 24 CFR part 24.

30. Environmental Conditions

The contractor agrees to comply, insofar as they apply to the performance of this agreement, with all applicable standards, orders or regulations issued pursuant to: HUD Environmental Review Procedures 24 CFR Part 58, the Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251 et seq.) Executive Order 11738, and Environmental Protection Agency regulations (40 CFR part 15), HUD Lead-Based Paint Regulations at 24 CFR 570.608, and 24 CFR Part 35, Subpart B; and the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470). In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001), Sub-recipient shall assure that for activities located in an area identified by the Federal Emergency Management (FEMA) as having special flood hazards, flood insurance under the National Flood Insurance Program is obtained and maintained as a condition of financial assistance for acquisition and construction purposes.

31. Subcontract Provisions

(a) The contractor will include the provisions of all of the provisions of this exhibit, in every subcontract, specifically or by reference, so that such provisions will be binding upon each of its own sub-recipients or subcontractors.

HMGP

- 1. Will give the Office of Community Development, the Comptroller General of the United States and, if appropriate, the State of Louisiana, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- 2. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
- 3. Will comply with the requirements of the Office of Community Development with regard to the drafting, review and approval of construction plans and specifications.
- 4. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms to the approved plans and specifications and will furnish progress reports and such other information as may be required by the Office of Community Development.
- 5. Will initiate and complete the work within the applicable time frame after receipt of approval of the contract.
- 6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- 7. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- 8. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of Sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act f 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentially of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to

nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

- 9. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federal-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- 10. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- 11. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §\$276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §\$327-333) regarding labor standards for federally-assisted construction sub agreements.
- 12. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- 13. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (PL. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
- 14. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 15. Will assist the Office of Community Development in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

- 16. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
- 17. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
- 18. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

LOBBYING

A. As required by the section 1352, Title 31 of the US Code, and implemented at 44 CFR Part 18 for persons entering into a grant or cooperative agreement over \$100,000, as defined at 44 CFR Part 18, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement and extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any other funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities", in accordance with its instructions:
- (c) The undersigned shall require that the language of this certification be included in the award documents for all the sub awards at all tiers (including sub grants, contracts under grants and cooperative agreements, and subcontract(s)) and that all sub recipients shall certify and disclose accordingly.

DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR Part 67, for prospective participants in primary covered transactions, as defined at 44 CFR Part 17, Section 17.510-A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

- (b) Have not within a three-year period preceding this application been convicted of or had a civilian judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or perform a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or locally) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this assurance.

DRUG-FREE WORKPLACE

As required by the Drug-Free Workplace Act of 1988, and implemented at 44 CFR Part 17, Subpart F, for grantees, as defined at 44 CFR part 17, Sections 17.615 and 17.623:

- (A) The contractor certifies that it will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition; (b) Establishing an on-going drug free awareness program to inform employees about:
- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant to be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
- (1) Abide by the terms of the statement; and

- (2) Notify the employee in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
- (e) Notifying the agency, in writing within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the applicable FEMA awarding office, i.e. regional office or FEMA office.
- (f) Taking one of the following actions against such an employee, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Require such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.
- (g) Making a good effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f). SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TITLE

APPLICANT ORGANIZATION DATE SIGNED

ATTACHMENT V FEDERAL REGULATIONS

(Information only)

FEMA applicable rules and regulations: Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, 31 United State Code Section 1352, Title 44 Code of Federal Regulations parts 13 (specifically part 13.36), and 206, OMB Circular A-87 (Standard Form 424B (Rev.7-97) and various reporting requirements. If you need a copy of these regulations, circulars, reporting requirements, etc, please request copies from the State Of Louisiana, Division of Administration, Office of Community Development, 1201 North Third Street, Suite 7-210, and Baton Rouge, Louisiana, 70802.

Internet Resources:

Federal Regulations: http://www.fema.gov/index.shtm

Mitigation Plan Regulations: http://www.fema.gov/government/mitigation.shtm

FEMA Hazard Mitigation Desk Reference:

http://www.fema.gov/library/viewRecord.do?id=1472

OMB Circulars: http://www.whitehouse.gov/omb/circulars/index.html

US Census Bureau: http://www.census.gov/

The following are related Acts, OMB Circulars and regulations that must be complied with when using FEMA funds.

FEDERAL ACT Robert T Stafford Disaster Relief and Emergency Assistance Act

FEDERAL REGULATIONS - CFR Title 44

- -Part 10 Environmental Considerations
- -Part 13 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- -Part 14 Administration of Grants: Audits of State and Local Governments
- -Part 201 Mitigation Planning
- -Part 206 Federal Disaster Assistance for Disasters Declared on or after November 23, 1988
- Subpart A General

- Subpart B Declaration Process
- Subpart C Emergency Assistance
- Subpart M Minimum Standards
- Subpart N Hazard Mitigation Grant Program
- FEDERAL REGULATIONS CFR Title 24

OMB CIRCULARS

A-21 Cost Principles for Educational Institutions

A-102 Grants and Cooperative Agreements with State and Local Governments

A-133 Audits of States, Local Governments, and Non-Profit Organizations

A-87 Cost Principles for State and Local Governments

OMB Circular for Government Sub-recipients

OTHER RELATED REGULATIONS

Disclosure Requirements - (C.F.R., Part 5)

Production or Disclosure of Information (570.607)

Employment & Contracting Opportunities – requires compliance with Exec Order 11246 as amended, Equal Employment Opportunities and Public Law 102-550 Sec. 3 Economic Opportunities for Low Income and Very Low Income Persons. (570.608)

Public Law 88-352 refers to Title VI of the Civil Rights Act of 1964 which provides that no person in the United States shall on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

Building Permits & Historic Preservation – (Sections 110 (K) and 106 of the National Historic Preservation Act). All projects involving construction and rehabilitation must be reviewed by the Louisiana State Office of Parks, Recreation and Historic Preservation (SHPO) which conducts reviews pursuant to the Advisory Council on Historic Preservation regulations 36 CFR 800.4(d) (1). All agencies undertaking this type of work with Federal funds must pull the proper building permits and have a SHPO clearance letter before funds can be dispersed. Community Development staff provides technical assistance for this process.

State Regulations

The Louisiana Homeland Security and Emergency Assistance and Disaster Acts

LRS Title 29, Chapter 6

Act 12 of the Regular Session, 2006

Louisiana Revised Statute 4:1730.28

Louisiana Procurement Code, Title 39 Chapter 17

Louisiana Hazard Mitigation Strategy (4 volumes)

ATTACHMENT VI COST PROPOSAL FORMAT

Proposals shall be written in such a manner that costs and activities are separable between CDBG and HMGP activities. The technical proposal should be boxed and labeled separately from the cost proposal. The State reserves the right to award any, all, or none of the items listed in the tables for pricing.

CDBG

The cost proposal shall consist of one component.

1. Staff Classifications

The proposer shall provide hourly rates for the staff classification using the tables listed below. **These rates will remain the same for the entire term of the contract.**

The proposer's rates identified in Table I shall be based on the contractor's staff being housed at a facility provided by the State in Baton Rouge, LA. The State will provide the contractor's staff with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. This rate shall be fully burdened and include all travel and project expenses with the exception noted below.

The proposer's rates identified in Table II shall be fully burdened and based on the contractor providing a facility for their staff within approximately a 50 mile radius of Baton Rouge, LA. The contractor will provide their staff with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. This rate shall be fully burdened and include all travel and project expenses with the exception noted below.

*Contractor staff will be paid the hourly rate while on field travel on behalf of the state under this contract. Travel expenses directly related to field travel on behalf of OCD-DRU will be paid in accordance with PPM 49, State Travel Regulations. No other travel expenses or direct costs or hourly rates for other staff classifications will be reimbursed under the contract. **OCD-DRU reserves the right to increase or decrease the number of staff based on the needs of the Office**.

1. Staff Classifications (CDBG)

Table I. State Provides Facility Labor Category	Proposer's Hourly Rate	Weight Factor	Weighted Cost
CDBG Compliance Specialists	\$	5	\$
Proposer's Weighted Cost (A)			\$

Table II. Contractor Provides Facility Labor Category	Proposer's Hourly Rate	Weight Factor	Weighted Cost
CDBG Compliance Specialists	\$	5	\$
Proposer's Weighted Cost (B)			\$

HMGP

The cost proposal shall consist of two primary components. The first component is the hourly rate for all staff classifications. The second component is the cost to provide workspace for up to (10) OCD-DRU employees at the contractor's facility in the New Orleans area.

1. Staff Classifications (HMGP)

Provide in the tables listed below an hourly rate for all staff classifications. **These rates will remain the same for the term of the contract.**

The proposer's rates identified in Table III shall be based on the State providing a facility for contractor staff located in Baton Rouge, LA and the contractor providing a facility for contractor staff located in New Orleans, LA. The State will provide the contractor staff located in Baton Rouge, LA with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. The contractor shall provide contractor staff located in New Orleans, LA with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. This rate shall be fully burdened and include all travel and project expenses with the exception noted below.

The proposer's rates identified in Table IV shall be based on the contractor providing a facility for their staff in Baton Rouge and New Orleans, LA. The contractor will provide their staff in both locations with office space, computers, operating software, internet service, office supplies, desks/cubicles, office chairs, faxes, copiers, and telephones through this facility arrangement. This rate shall be fully burdened and include all travel and project expenses with the exception noted below.

*Contractor staff will be paid the hourly rate while on field travel on behalf of the state under this contract. Travel expenses directly related to field travel on behalf of OCD-DRU will be paid in accordance with PPM 49, State Travel Regulations. No other travel expenses or direct costs or hourly rates for other staff classifications will be reimbursed under the contract. **OCD-DRU** reserves the right to increase or decrease the number of staff based on the needs of the Office.

2. Workspace for OCD-DRU Employees

The contractor will operate an office in the New Orleans area and provide space for their staff and up to (10) OCD-DRU employees. The contractor shall provide OCD-DRU employees with access to desks/cubicles, office chairs, computers, operating software, internet service, office supplies, faxes, and telephones through this facility arrangement.

The proposer shall provide a monthly rate associated with the housing of each OCD-DRU employee at the New Orleans, LA facility. This rate shall be fully burdened and include all expenses associated with the housing of up to (10) OCD-DRU employees. **OCD-DRU reserves** the right to increase or decrease the number of staff based on the needs of the Office.

Total Weighted Cost for CDBG & HMGP

For each staff classification, the proposed hourly rate (fully burdened and inclusive of all travel and project expenses) shall be multiplied by the stated weight factor to derive a weighted cost for that classification. The weighted costs for all classifications will be summed to derive the weighted cost associated with Staff Classifications for each table. The proposed per OCD-DRU employee monthly rate (fully burdened and includes all expenses) associated with the housing of up to (10) OCD-DRU employees shall be multiplied by the stated weight factor to derive a weighted cost associated with the contractor providing workspace at the New Orleans, LA facility. This will be the proposer's weighted cost associated with Workspace for OCD-DRU employees. The proposer's Weighted Total Cost will be computed by summing the weighted costs for CDBG and HMGP staff classifications multiplied by 2 plus the monthly workspace cost for OCD-DRU employees. This will be the proposer's weighted total cost to be used in the evaluation and scoring process for Cost of Service. Note: Weighting factors are for grading purposes only. Contractor will be paid the actual billable rates proposed or lower negotiated rates.

1. Staff Classifications (HMGP)

Table III. State Provides Facility in Baton Rouge and Contractor Provides Facility in New Orleans, LA Labor Category	Proposer's Hourly Rate	Weight Factor	Weighted Cost
Project Manager	\$	1	\$
Call Center Personnel	\$	3	\$
Mitigation Analysts	\$	5	\$
Data Personnel	\$	2	\$
Proposer's Weighted Cost (C)			\$

Table IV. Contractor Provides Facility in Baton Rouge and New Orleans, LA Labor Category	Proposer's Hourly Rate	Weight Factor	Weighted Cost
Project Manager	\$	1	\$
Call Center Personnel	\$	3	\$
Mitigation Analysts	\$	5	\$
Data Personnel	\$	2	\$
Proposer's Weighted Cost (D)			\$

2. Work Space for OCD-DRU Employees

Table V. Contractor Provides Work Space for the State	Proposer's Monthly Rate Per OCD-DRU Employee	Weight Factor	Weighted Cost
Work Space for up to (10) OCD-DRU Employees at the New Orleans Facility		3	\$
Proposer's Weighted Cost (E)			\$

Total Weighted Cost (2A) +	-(2B) + (2C) + (2D) + E:	\$

ATTACHMENT VII STANDARD OPERATING PROCEDURES HAZARD MITIGATION GRANT PROGRAM (HMGP)

1.0 INTRODUCTION

1.1 PURPOSE / BACKGROUND



The Federal Emergency Management Agency's (FEMA) Hazard Mitigation Grant Program (HMGP) provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration. The purpose of HMGP is to reduce the loss of life and property due to natural disasters and to enable mitigation measures to be implemented during the immediate recovery from a disaster. FEMA's HMGP is authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

The Hazard Mitigation Grant Program is a cost reimbursement program.

The Office of Community Development Disaster Recovery Unit (OCD-DRU) has a current allocation of up to \$750 million dollars for hazard mitigation measures. Details follow:

\$729 million (Disaster 1603—Hurricane Katrina)
\$21 million (Disaster 1607—Hurricane Rita)
\$750 million

The purpose of the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP) is two-fold:

- (1) Serve as a supplemental grant for eligible Road Home participants to implement measures that will permanently reduce or eliminate future damages and losses from natural hazards through their elevation or pilot reconstruction grant.
- Provide the match necessary for the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) for disasters 1603 and 1607, Hurricanes Katrina and Rita respectively.

Approved mitigation measures include Elevation, Pilot Reconstruction and Individual Mitigation Measures (IMM). The goal of the OCD-DRU HM program is to elevate or reconstruct approximately 15,000 structures located in flood prone areas of Louisiana that were adversely affected by Hurricane Katrina or Hurricane Rita.

The OCD-DRU HMGP, GOHSEP, FEMA relationship follows:

- FEMA (Federal Emergency Management Agency), the Grantor, is the funding source for program dollars and is responsible for identifying/approving program requirements, awarding grant funds, monitoring use of grant funds, and collecting grant debts.
- GOHSEP (Governor's Office of Homeland Security and Emergency Preparedness), the Grantee, is the agency responsible for the State of Louisiana Hazard Mitigation grant program. Its duties including the approval of fund transfers and ensuring grant compliance.
- OCD-DRU HMGP (Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program), the Sub grantee, is the entity responsible for administering the grant program in accordance with the approved scope of work stated in the FEMA/GOHSEP approved application.

OCD-DRU HMGP Award

• Effective March 12, 2009, the award is currently capped at \$100,000. Prior to that time, the award was capped at \$30,000. Any applicant that previously received the \$30,000 will be awarded an additional amount if they are deemed eligible.

As of April 2009, three batches of properties (3,366 structures total) have been approved for FEMA funding and 23k+ have been "cleared" with no funds approved:*

Disaster #	# of Structures	FEMA Approval
1603	4	October 15, 2007
1603	1	November 20, 2007
1603	5	February 2, 2008
1603	2756	May 2, 2008
1607	600	September 17, 2008

Disaster #	# of Structures	FEMA Clearance Letter Date
1603/1607	2376	July 15, 2008
1603/1607	1646	October 8, 2008
1603/1607	8209	September 19, 2008
1603/1607	5515	December 18, 2008
1603/1607	660	January 30, 2009
1603/1607	373	January 30, 2009
1603/1607	87	March 20, 2009
1603/1607	887	March 24, 2009

*A "batch" is here defined as a group of properties that are located within an identified "ABFE" (Advisory Base Flood Elevation as established by FEMA) that have cleared preliminary FEMA environmental reviews, historical reviews, and have been deemed cost effective. While these properties have been approved for funding by GOHSEP and FEMA, continued eligibility determinations must be performed by OCD-DRU HMGP as part of the post award process.

1.2 Condensed Approval and Funding Strategy for OCD Elevation/Pilot Reconstruction Project

Given the unique attributes and large scale scope of this project, the OCD Elevation/Pilot Reconstruction Post-Award Process is set up so that funding will take place periodically as work is completed. Properties will be mitigated in manageable batches as determined by OCD-DRU HMGP. The process below summarizes the method to accomplish the Post-Award Process through Closeout. Key oversight personnel from each agency are essential to this project's success.

- OCD-DRU HMGP provides a list of potential applicants to GOHSEP for review. GOHSEP reviews and forwards list to FEMA for EHP clearance, verification of cost effectiveness and initial screening. FEMA provides GOHSEP with a list of "cleared" properties for potential funding. GOHSEP sends the list to OCD-DRU HMGP. Previously, OCD-DRU HMGP submitted batches of properties to FEMA via GOHSEP for funding. FEMA would then allocate/obligate funding for the submitted properties. As of December 2008, FEMA is no longer accepting property batch submissions for the formal funding process. Rather, the agency has stated that it will backfill GOHSEP's Smartlink account as OCD-DRU HMGP expends the currently allocated funds for homeowner reimbursements.*
- 2. OCD-DRU HMGP will manage and oversee the project by providing technical assistance and guidance to homeowners as needed. Expenditures (Overruns/Underruns) will be monitored and reported to both GOHSEP and FEMA as soon as possible. Any Scope, Budget, or participant changes will be brought to GOHSEP's and FEMA's attention. Any properties that are cleared and later determined to be ineligible will be documented and funds either returned to FEMA (via GOHSEP) or reallocated to the next potential homeowner. This information will be forwarded on a regular basis.
- 3. Inspections will be ongoing and thoroughly documented. OCD-DRU HMGP's Inspection Monitor will oversee an Inspection Contractor who will provide electronic reports configured to match the criteria located in FEMA's database to include digital photos and Latitude/Longitude specifications that are burned onto the digital photo. The data will be shared with each involved agency.
- 4. In order to meet closeout requirements, OCD-DRU HMGP will keep all programmatic records including copies of permits, documentation required under the work in progress waiver, and photographs of complete work. OCD-DRU HMGP will also keep financial records including the following:
 - Copies of checks or bank ledgers for funds received from the State
 - Documentation that the account used to pay costs has a zero project balance (or is closed)

• Documentation recording that excess funds were returned to the State reconciling the cost of underruns/overruns.

*Note: Smartlink is the name of the system that houses all Hazard Mitigation grant funds from FEMA. GOHSEP, as grantee, draws down from this account.

2.0 PROGRAM SCOPE

The proposed scope of work for this project is to elevate or reconstruct residential structures to comply with the FEMA designated Advisory Base Flood Elevation (ABFE) or Base Flood Elevation (BFE), whichever is higher. Elevation and pilot reconstruction are FEMA-eligible mitigation activities that will alleviate and mitigate the future risk of damage due to flooding and strong winds. Additionally, Individual Mitigation Measures (IMMs) have been included in the proposed scope of work. This project will address repetitive flood problems in Louisiana and significantly reduce risk to public health and safety.

The goal of the elevation process is to raise the lowest floor of the structure to comply with local floodplain ordinances and the requirements of the Advisory Base Flood Elevations (ABFE) published in 2007. This can be accomplished by elevating the entire house, including the floor, or by leaving the house in its existing position and constructing a new, elevated floor within the house.

The goal of Pilot Reconstruction is to demolish and rebuild structures in compliance with the FEMA designated Advisory Base Flood Elevation (ABFE) or the Base Flood Elevation (BFE), whichever is higher. The structure must also be rebuilt in compliance with the 2003 International Residential Building Code (IBC) standards. Per FEMA guidance, the total square footage of the new structure cannot be 110% greater than that of the original structure.

Per Pilot Reconstruction guidance, applicants must demonstrate and document that mitigation through acquisition or traditional elevation were considered and determined to be programmatically infeasible. Applicants who do not clearly demonstrate this will not be considered for funding under pilot reconstruction. Since one of the OCD-DRU HMGP program parameters is that applicants must be Road Home Eligible – Option 1 (Keep your home), the homeowner has demonstrated an unwillingness to sell property. Therefore, acquisition is automatically ruled out for the purpose of OCD-DRU HMGP.

The methodology for Pilot Reconstruction projects will include six (6) general construction activities. Each of the following elements is integral to the fundamental programmatic requirements of the Pilot Reconstruction project:

- Pre-Construction
- Site preparation
- Foundation construction
- Structural Shell construction
- Interior finish
- Construction completion.

3.0 PREREQUISITES

3.1 Certifications:

The OCD-DRU HMGP Award reimburses eligible homeowners up to \$100,000 (based on actual cost incurred for eligible activities) to elevate or reconstruct their damaged homes to meet the local Base Flood Elevation or Advisory Base Flood Elevation, whichever is higher.

3.1.1 Eligibility

A homeowner must meet the following minimum criteria in order to be <u>considered</u> for the OCD-DRU HMGP award.

Homeowner is an eligible participant of the *Road Home* program. (NOTE: Even if a homeowner received a zero award letter from Road Home, that homeowner may still be eligible for money through the OCD-DRU HMGP.)

- Homeowner selected Road Home Option 1—"Keep your home"
- Homeowner still owns the home that was eligible for Road Home benefits
- The structure is located in a floodplain based on the FEMA Advisory Base Flood Elevation (ABFE) guidance or is deemed cost-beneficial in accordance with FEMA guidance.
- Homeowner agrees to meet all HMGP regulations as determined by FEMA, GOHSEP, and all the conditions listed in the OCD-DRU HMGP Award Covenant.

Ineligible properties include, but are not limited to:

- Condominiums
- Homes not in the Advisory Base Flood Elevation (ABFE) that are not deemed cost beneficial in accordance with FEMA guidance.
- Duplexes and town homes that share common roof and/or foundation where owners of adjacent homes cannot agree in writing to elevate or reconstruct.
- Applicants who received Road Home funds under Option 2 or 3.

3.1.2 Construction Timelines

- Homeowners who started or completed their mitigation activity on or before March 16, 2008 may be eligible for the HMGP Award, pending satisfactory FEMA clearance and compliance with all other program eligibility criteria.
- Homeowners who have not started construction by March 16, 2008 may be eligible for the HMGP Award, but must wait to receive notification of FEMA clearance formal approval from the OCD-DRU Hazard Mitigation Grant Program before beginning construction. Homeowners must also comply with all other program eligibility requirements.
- Eligible homeowners have 12 months to complete their designated mitigation measure following receipt of midpoint payment.

3.1.3 Award Amounts

The Hazard Mitigation Grant Program is a reimbursement program. Eligible applicants may receive up to \$100,000 based on documentation of actual eligible costs incurred.

Note: If a homeowner has received funds that are considered by the Federal government to be a duplication of benefits, those funds will be subtracted from the amount he/she receives.

3.1.4 Conditions

Eligible homeowners who choose to receive an OCD-DRU HMGP award must also:

- (1) Complete and sign the HMGP Voluntary Participation Agreement (VPA).
- (2) Sign and notarize the applicable OCD-DRU HMGP Award Covenant for Reconstruction or Elevation

3.2 Required Documents:

- Signed VPA from homeowner (original must be on file prior to receiving FEMA/GOHSEP clearance and approval)
- Signed & notarized OCD-DRU HMGP Covenant (must be on file prior to midpoint payment package submission to Quality Assurance/Quality Control (QA/QC).

3.3 Equipment:

- Scanners
- Desktop / Laptop Computers
- Copiers
- Digital Cameras with GPS capability
- Projector
- Printers

4.0 PROCEDURES

The following procedures for HMGP staff are presented in the order that a homeowner application is processed. The application steps for an applicant are as follows.

- 1. Submission of Voluntary Participation Agreement with original signature Note: Project Folder is created at this point
- 2. Applicant receives FEMA clearance to begin work *
- 3. Homeowner mitigation activity begins
 - Note: Mitigation Analyst (MA) provides guidance via US mail or email and meets with homeowner as needed.
- 4. MA collects required documentation to determine program eligibility and payment calculation as homeowner progresses to midpoint completion
- 5. Inspection Monitor completes midpoint inspection for those eligible for payment and those contributing to global match.
- 6. Mitigation Analyst prepares payment or global match package.
- 7. Payment or Global Match Package is reviewed by either Assistant Team Lead (ATL) or Team Lead (TL) for compliance.
- 8. Payment or Global Match Package is reviewed by Quality Assurance/Quality Control for concurrence.
- 9. Midpoint Payment request submitted to and processed by Regional Supervisors for review.
- 10. Midpoint Payment formally submitted to GOHSEP
 - Note: There will be no midpoint Global Match Submissions
- 11. MA collects documentation required to process final payment as homeowner completes work on a structure.
- 12. Final Inspection completed
- 13. Midpoint Payment or Global Match package formally submitted to GOHSEP. A request for property closeout is submitted concurrently.
- 14. Final Payment or Global Match Package is processed internally in the same manner as midpoint payment package.

*Note: Applicants who have already started or completed their project at the time a MA begins to review their application will follow a slightly altered sequence. The MA will verify that the homeowner did not commence work prior to receiving FEMA clearance or that homeowner meets the Work in Progress (WIP) Exemption Waiver Requirement and is "cleared" by FEMA as WIP. Then the MA is required to gather further documentation from the homeowner (See Step 4 listed above).

4.1 Internal Processing of Voluntary Participation Agreements (VPA)

Until October 6, 2008, OCD-DRU received a weekly "HMGP Interested Report" from ICF (Road Home contractor) containing a cumulative listing of homeowners who had returned the VPA declaring their interest in the program. Numerous discrepancies were identified within this report, resulting in the need to manually review all VPA forms submitted to date, as well as those anticipated to arrive. All VPA forms will be logged, reviewed and/or accounted for internally by OCD-DRU HMGP staff until a 100% accuracy rate is obtained.

All VPA forms received from ICF will be sorted and filed as follows:

- 1. Pull forms from binders:
- 2. Arrange completed forms in successive Series # order:

i.e.,

Series 00

Series 01

Series 02, etc.

- Each series will be separated in the file cabinets by Series marked file separators and the sequential range of series numbers for the forms contained within each file cabinet will be noted on the outside of the file drawer. (See example in Section 4.1.1)
- All forms will be sequentially filed by Road Home (RH) applicant ID number together, leaving room for new forms to be integrated into the drawer/file cabinet. The process will be repeated for all forms received.

4.1.1 Entry of New Forms

- Each new VPA form received will be entered into SharePoint VPA tracker capturing only what was notated on the form to the verbatim electronic form.
- After form is entered into SharePoint VPA tracker the RH applicant ID number on the upper left hand side of the paper form will be highlighted to indicate entry in electronic format.
- The paper forms will then be sorted temporarily into an accordion folder in successive Series # order: i.e.,

Series 00 Series 01

Series 02, etc.

- Upon completion of categorical sorting by Series #, the MA will notify his/her respective manager or designated individual in charge of the process.
- The manager or his/her designee will perform a QA/QC check on at least 40% of work completed by each MA comparing the paper form to what was entered to the electronic form in SharePoint VPA tracker. The person performing this task will check the "QC" box in SharePoint indicating that the QA/QC audit has been completed. If any changes are required they will be made and the "updated" box in SharePoint will be checked noting that a change was required and made.
- The individual performing the QA/QC check will add their initials to the right of the highlighted Applicant ID number on the paper form to signify completion of the QA/QC check of the paper form.
- If the MA's work passes the QA/QC check, the file is now ready to be filed in the permanent filing system according to its RH Applicant ID number.
- Numerical sorting will be accomplished by viewing The Series number. The Series # is the first two digits after the default 06HH in the Road Home Applicant ID, i.e.:

RH Applicant ID #	<u>Series #</u>
06HH001847	00
06HH230845	23
06HH078362	07
06HH111430	11
06HH032564	03
06HH222392	22
06HH108934	10
06HH143768	14

Mitigation analysts will place each Category's Series number in numerical order by RH applicant ID.

Please see the following example:

Series 00	Series 01		Series 19	Series 20	Series 23
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc		06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc	 •	06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc		06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc		06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc					
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc	•	06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc
06HH001234, 06HH001235, 06HH001236, 06HH001237, etc	06HH011234, 06HH011235, 06HH011236, 06HH011237, etc	 •	06HH191234, 06HH191235, 06HH191236, 06HH191237, etc	06HH201234, 06HH201235, 06HH201236, 06HH201237, etc	06HH231234, 06HH231235, 06HH231236, 06HH231237, etc

• File Cabinets should have each drawer clearly labeled on the front in the following format:

<u>Label Format</u>	<u>Example</u>
Series #: (Insert two digit series #)	Series #: 03
Applicant ID#: (Insert first VPA's full Applicant ID) to (Insert last VPA's full Applicant ID)	Applicant ID #: 06HH225698 to 06HH229999

- Upon completion of the filing process, the MA will notify his/her respective manager or the designated individual in charge of the VPA process.
- The manager or their designee will perform a QA/QC check on at least 40% of work completed by each Mitigation analyst.
- If the MA's work fails to pass the QA/QC check, the MA must redo the categorical sorting by Series number & Applicant ID number and filing for all assigned work.
- VPA reports can be pulled from SharePoint VPA tracker per the category description below with the QA/QC marker indicating the form has been checked for accuracy.

Category 1: Interested—Complete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I am interested in Receiving an HMGP Award."
Section 2:	Answer has been selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet the latest elevation standards in my community before March 16th. I expect to start by," the form is still "complete" if the person did not list a date in the blank.)
Section 3:	The applicable blanks have been completed and signature is present.

Category 2: Interested—Incomplete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	May or may not be listed.
Section 1:	Homeowner checked "I am interested in Receiving an HMGP Award."
	Answers may or may not be selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet the latest elevation standards in my community before March 16th. I expect to start by," the form is still "complete" if the person did not list a date in the blank and meets all other criteria for Category 1.)
Section 3:	Applicable blanks and signature block may or may not be complete.

Category 3: Not Interested—Complete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I am <u>not</u> interested in Receiving an HMGP Award" and applicable homeowner information complete with signature is listed.
Section 2:	N/A (Section should not be filled in)
Section 3:	N/A (Section should not be filled in)

Category 4: Not Interested—Incomplete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	May or may not be listed.
Section 1:	Homeowner checked "I am <u>not</u> interested in Receiving an HMGP Award." Applicable homeowner information and signature may or may not be listed.
Section 2:	Although this section should not be filled in, answers may be listed.
Section 3:	Although this section should not be completed, information may be listed.

Category 5: Sold—Complete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I have sold the home that was damaged during the storm and therefore will not be participating in the HMGP Award Program." and applicable homeowner information including signature is listed.
Section 2:	N/A (Section should not be filled in)
Section 3:	N/A (Section should not be filled in)

Category 6: Sold—Incomplete

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # may or may not be listed.
Section 1:	Homeowner checked "I have sold the home that was damaged during the storm and therefore will not be participating in the HMGP Award Program." Applicable homeowner information and signature may or may not be listed.
Section 2:	N/A (Section should not be filled in)
Section 3:	N/A (Section should not be filled in)

Category 7: Other

This category is intended for blank forms or forms on which only the Road Home Applicant ID # is listed.

- Duplicate forms will be set aside. If there is no conflict in any of the forms the copies will be stapled together and filed. If conflict does exist between any of the copies then a letter will be sent to the applicant with copies of the duplicate forms explaining that conflicting forms exist. The outbound correspondence will be noted in SharePoint Tasks with all applicant information. A new blank form will be included in the correspondence and the homeowner will be asked to fill it out and return it to the OCD-DRU HMGP. The new form will become the form of record.
- The appointed VPA process manager or their designee is responsible for locking the VPA file storage units prior to departing each evening.
- Standard and Ad Hoc reports can be sent to and accessed by OCD-DRU HMGP staff via SharePoint VPA tracker.
- Categories 2, 4, 6, and 7 homeowners will be contacted via phone by MAs in an attempt to obtain the missing information needed to deem that particular form "complete." (Reference Category Listing for "completeness" criteria)
- Mitigation analysts that are assigned properties in Category 3 will generate the standard "No Interest" letter for each Applicant ID# and address. Once complete, MAs will forward to their respective Assistant Team Lead (ATL) for review and feedback, if applicable. The ATL will forward to the Team Lead (TL) for review before sending to the Regional Supervisor (RS) for review. Upon completion of review, the RS will either grant approval or denial for mailing. The TL is responsible for overseeing the mailing and correspondence tracking process. All correspondence will be tracked in SharePoint Tasks.
- Mitigation analysts that are assigned properties in Category 5 will generate the standard "Sold" letter for each Applicant ID# and address. Once complete, MAs will forward to their respective ATL for review and feedback, if applicable. The ATL will forward to the TL for review before sending to the RS for review. Upon completion of review, the RS will either grant approval or denial for mailing. The TL is responsible for overseeing the mailing and correspondence tracking process.

Category 1 properties will be compiled for formal submittal by each TL using the "Regional OCD Batch Spreadsheet." Once properly compiled, the TL will send the region's listing to the ARS for compilation and review. The ARS compiles each regional document in the formal "OCD Priority Submission Spreadsheet" and reviews all comments for accuracy prior to sending to the Regional Supervisor (RS). The RS will review the spreadsheet for completeness.

4.2 Project File Creation and Storage

- An applicant's project file is created upon receipt of a VPA or any documentation a homeowner may submit on behalf of his/her structures.
- The folders and sectioned portions contained therein should be labeled and built in the manner listed in "Exhibt 11: Project Folder Stacking Order" document.
- All files should be locked in either the appropriate file cabinets or storage units designated in the OCD-DRU HMGP File room.
- MAs are responsible for returning the file currently being worked to the proper file cabinet following their use with said file.
- The TL or designee is responsible for ensuring that his/her designated file cabinets are locked daily following normal business hours.
- The RS is responsible for ensuring that the file room storage units are locked daily following normal business hours.
 - At no point should any HM employee leave files unsecured (out on their desks or surrounding areas) following normal business hours.
 - At no point should a file leave the office unless it is for the purpose of work from a satellite location.*

*Note: RS/ARS must grant prior written approval to this occurring. All files must be properly checked out and back in using the designated "File check in/out Form."

4.3 Clearance Process

Once an applicant's original VPA has been submitted to HMGP—be it via old ICF submission or direct OCD submissions—the next step is to request clearance from FEMA for the applicant to begin the mitigation project. Properties can be "cleared" to begin work in one of two ways:

- Under the Work in Progress (WIP) Disaster Specific Guidance entitled "Eligibility Criteria for Limited Exception for Retroactive Approvals under the HMGP for Louisiana & Mississippi": Homeowners who indicated on the VPA that they had started or completed mitigation activity on or before March 16, 2008. These properties are eligible for clearance under the Work in Progress Exemption (WIP) waiver. The homeowner must meet the following criteria in addition to complying with all program requirements:
 - WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.

- The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - 1. Invoices showing the actual dates of physical work of the mitigation activities.
 - 2. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - 3. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - 4. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
- The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - 1. Insurance claims
 - 2. Inspection report completed after the event
 - Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - 4. Dated Photographs
 - 5. Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - 1. Dated receipts
 - 2. Paid invoices
 - 3. Cancelled checks with accompanying invoices
- If the homeowner indicated on the VPA that they started prior to March 16, 2008 but they did not, they will need to undergo traditional FEMA review.
- Traditional Clearance
 - Homeowners who did not start construction by March 16, 2008 must undergo the traditional clearance process.

Note: All homeowners undergo FEMA review regardless of clearance method.

Applicants who have submitted a proper VPA and who are not cleared are added by the Mitigation Analyst (MA) to the SharePoint Target Group as "Not Cleared." The Mitigation Analyst must identify the proposed mitigation activity and verify whether there is an original VPA on file.

- Every other Tuesday, the Assistant Regional Supervisor (ARS) pulls a report of all properties [for which a VPA is on file] that are not cleared, not started, and not cleared who have started prior to March 16, 2008. The ARS is working with IT to automate and track this report.
- The ARS reviews for accuracy and forwards the report to the RS.
- The Regional Supervisor (RS) reviews for completeness and sends the list of potential applicants requesting clearance to GOHSEP and copies the Assistant Hazard Mitigation Manager (AHMM).

- The RS forwards the list of potential applicants requesting clearance to the GOHSEP State Level Grant Chief (SLGC) for review.
- The GOHSEP SLGC reviews and forwards list to the FEMA OCD Lead for Environmental Historical Preservation (EHP) clearance, verification of cost effectiveness, and initial screening.
- The FEMA "OCD Project Lead" provides the GOHSEP SLGC with a list of "cleared properties" for potential funding. (Note: Typically a response is received within 20- 25 business day time frame.)
- The GOHSEP SLGC sends the list of "cleared properties" to the RS who then forwards it to the ARS and IT Reporting team and copy the AHMM.
- The IT/Reports team updates the FEMA status in the "Universe" of applicants within 48 hours of list receipt.
- The ARS notifies the MAs of the update. MAs notify the applicants who are newly cleared by telephone. If the applicant requests formal documentation, the MA sends the FEMA Clearance letter.

Note: By the end of May 2009, the mass mailing to applicants currently cleared by FEMA (approximately 24,000) will be complete. All properties cleared after that point will be notified by mail within 7 business days of OCD-DRU HMGP receiving clearance notification from GOHSEP. The Response team will be responsible for these mailings and the subsequent updating in SharePoint. Copies of the signed letters should be divided by Region and given to the applicable Team Lead (TL) for internal distribution.

4.4 Approval Process

Note: During the 12/12/08 meeting with GOHSEP, FEMA, and OCD-DRU HMGP, FEMA informed attendees that OCD-DRU HMGP no longer had to submit properties for "approval" and that the program could begin to notify the "cleared" homeowners that work could commence. Cleared properties could be substituted for "funded" properties as properties on the funded list were found to be ineligible or withdrew from the Program. The following is the approval process we would undergo if OCD-DRU HMGP should ever begin formally submitting properties for funding in the future.

- The GOHSEP SLGC sends the list of "cleared properties" to the RS.
- The RS completes the formal property spreadsheet listing with the assistance of the ARS and submits to the AHMM for review. The information contained in the OCD Funding Spreadsheet follows:
 - Applicant ID
 - o Name
 - o Address, City & Zip Code
 - o Parish
 - Latitude/ Longitude
 - o Construction Date
 - Square Footage
 - Project Type
 - Estimated Elevation Cost (FEMA completes)
 - Estimated Reconstruction Cost (FEMA completes)
 - o WIP status
 - Project Management Costs

- o Federal Share
- Sate Required Match
- Overmatch
- The Finance Officer (FO) prepares the applicable funding letter and corresponding SF424.
- The AHMM reviews the packet, provides feedback if applicable, and submits it to the Hazard Mitigation Manager (HMM) for final review and signature.
- The HMM formally submits the information to the State Hazard Mitigation Officer (SHMO) for funding.
- Once the SHMO receives the submission, GOHSEP reviews it prior to sending it to the FEMA Deputy Mitigation Section Chief.
- FEMA reviews information and allocates/obligates funding for the submitted properties. Formal notification from FEMA of funding approval is sent to the SHMO.
- Once received, the SHMO will send written confirmation to the HMM.
- Once approved, the OCD-DRU Hazard Mitigation (HM) section must work to meet the following post-award requirements for each property:
 - Identify the actual mitigation activity
 - Verify eligibility regarding Road Home and ownership
 - Verify actual costs (Note: A project is approved based on estimated costs, but closed based on actual costs, which may result in a budget adjustment at closeout)
 - Verify insurance and Road Home awards so that Duplication of Benefits (DOB) and Duplication of Programs does not occur (Note: This may result in an adjustment of grant funds at closeout)
 - Verify that the structure meets elevation and square footage requirements (for Pilot Reconstruction),
 - Verify homeowner has required flood insurance, notarized covenant rider, and documents required to process a payment and/ or provide Global Match.

4.5 Homeowner Communication

4.5.1 Homeowner Appointments

HMGP staff will contact homeowners to schedule face-to-face meetings at community outreach events. These events will be targeted to applicants identified on the FEMA cleared and/or funded lists and have expressed an interest in additional program materials. The sessions can be held with either multiple applicants in one region or individual applicants of different regions, if applicable.

Applicants that have already started or completed construction

o For those applicants who have already started or completed construction, this appointment will be held prior to processing the applicant for a payment. The purpose of the appointment is to provide program information including but not limited to program requirements, the application process, and grant calculation methodology. Additionally, HMGP staff will gather any additional documentation required to review an applicant's eligibility and potential award.

Note: Given current staff limitations, appointments will only be held on an as needed basis. In the event documentation can be collected by mail or fax, MAs should actively pursue that method of collection.

Applicants who have not began construction

o For those applicants who have not begun construction, this appointment will be held as applicants indicate interest. Due to current staff limitations, this appointment is occurring only at the applicant's request. Once staff levels are sufficient to handle a large number of homeowner appointments, HMGP staff will meet with all homeowners prior to construction to ensure applicants are aware of program requirements prior to initiating construction. Currently this information is being conveyed via mail, fax and telephone.

Since the applicant previously submitted documentation to HMGP staff, the applicable project folder will be brought to the meeting. This project folder will store all homeowner documentation submitted by the applicant as well as copies of all signed outbound correspondence sent to the applicant. MAs are responsible for creating, updating, and storing applicant project folders. Folder creation should always occur upon receipt of a homeowner VPA.

Project folders will be used to house applicant documentation until a software solution is in place. At that time, most applicant documentation will be scanned and stored digitally. Only documentation for which the HMGP requires the original document will be stored in project folders. Examples of original documents required include the VPA, covenant and conditional payment letter form, if applicable.

4.5.2 Community Outreach Events

(Note: The applicable TL is responsible for drafting a plan of action for each outreach event and submitting it for review to both the ARS and RS prior to receiving formal approval from HM Management.)

- The OCD PIO/Outreach Coordinator will work closely with GOHSEP, FEMA, local jurisdictions, and OCD Regional Team Leaders to coordinate outreach.
- Workshops will be conducted on an appointment-only basis. A standardized mailing will be sent to the applicable homeowners whose structures recently received FEMA/GOHSEP approval or clearance. (See Exhibit 1: Draft Homeowner Workshop Letter).
- HMGP Regional staff will handle the printing and processing of the outreach mailing if possible. If it is not feasible, the ARS/RS will provide the necessary requirements so that a company can be secured to do the mailing. The target date for the mail out is a minimum of three weeks prior to an outreach event occurring.
- If there is not a sufficient homeowner response to the mailing, the MAs will make contact with the applicants who were mailed letters and did not respond via telephone.
- Calls will be made to the aforementioned homeowners by the Response Team using the "Workshop Homeowner Call Script" as a base. Calls will be logged in the IB/OB Task in SharePoint. (Note: No calls will be placed prior to 8am CST and none later than 8pm, unless specifically requested by homeowner.
- Outreach appointments are scheduled in the "Appointment Scheduler" in SharePoint.

Logistic Requirements

Location:

Due to the volume of the homeowner mailing, a conference room or auditorium may be the type of facility needed to sustain outreach events. The ARS/RS will notify Procurement when the date and location of the event have been identified.

- 1. Reception Area (2 people)
- 2. Folder Tables (3-6 people)
- 3. Training/ Briefing Room (2 people)
- 4. Homeowner meeting tables (3-6 people)

Location Setup: The staff will drive in the afternoon prior to the event for setup.

One Travel Authorization for all outreach staff should be <u>completed 2 weeks prior to outreach date</u>. The ARS/RS is responsible for the completed travel authorization submission to Management. Outreach staff will be individually responsible for completing the state tax exemption forms and presenting them to the hotel.

(Note: Please reference Procurement in Section 5.6 for more information regarding procedures for Outreach events (i.e. securing the facility, security, lodging, and/or supplies).

Meeting Times

- Employees should report to the designated venue 45 minutes prior to the start of the workshop each day and are responsible for ensuring the following:
 - 1. Reception table/ check-in is properly set-up and manned at all times
 - 2. Briefing/Training station is properly set-up, equipment functioning, and area is manned at all times
 - 3. Folder tables are properly set-up and manned at all times
 - 4. Regional tables are properly set-up, materials present, and each station is manned at all times
- Appointment times will be scheduled in the following manner (See example schedule illustrated below):

Morning Shift	Afternoon Shift
8:00-8:30 Folder Preparation	12:30-1:00 Folder Preparation
8:30-9:00 Training	1:00-1:30 Training
9:00-9:30 Homeowner Meeting	1:30-2:00 Homeowner Meeting
8:40-9:10 Folder Preparation	1:10-1:40 Folder Preparation
9:10-9:40 Training	1:40-2:10 Training
9:40-10:10 Homeowner Meeting	2:10-2:40 Homeowner Meeting
9:20-9:50 Folder Preparation	1:50-2:20 Folder Preparation
9:50-10:20 Training	2:20-2:50 Training
10:20-10:50 Homeowner Meeting	2:50-3:20 Homeowner Meeting
10:00-10:30 Folder Preparation	2:30-3:00 Folder Preparation
10:40-11:10 Training	3:00-3:30 Training
11:10-11:40 Homeowner Meeting	3:30-4:00 Homeowner Meeting

10:40-11:10 Folder Preparation	3:10-3:40 Folder Preparation
11:10-11:40 Training	3:40-4:10 Training
11:40-12:10 Homeowner Meeting	4:10-4:40 Homeowner Meeting
11:20-12:20 Folder Preparation (Lunch - 1 st shift) 11:50-12:50 Training (Lunch - 2 nd shift) 12:20-1:20 Homeowner Meeting (Lunch - 3 rd shift)	3:50-4:20 Folder Preparation 4:20-4:50 Training 4:50-5:20 Homeowner Meeting 5:20-5:45 Cleanup 5.45-6:00 Daily Meeting * *No one is allowed to leave prior to HMM dismissal

^{*}RS/ARS are responsible for submission of "Daily rollup" to management to include but not be limited to the following information:

- Total # of Homeowners seen
- Total # of Potential Payments
- # of Homeowners Potentially Ineligible
 # of Withdrawn

1. Non-appointment days:

- Afternoon prior to event-This will be used as a travel, check-in, set-up, training day.
 - Morning following event-This will be used as a travel, check-out day.

2. Appointment days:

Example: The three 8:00 AM appointments

- 3. Upon arrival, the homeowners will enter into the Reception Area
 - They will be logged in by one of the two people manning this table.
 - They will sign the Verification of Identity form and a copy will be made of State or federally issued picture ID.
- 4. The homeowners will then be escorted to one of the three "Folder Prep" Tables.
 - Each MA will have a folder stacking order list with the correct format.
 - Each folder will have a project folder checklist clipped to the front. The checklist will be filled out as the MA reviews an applicant's documentation.
 - If they are no longer interested, they will sign the Notice of Intent form. The MAs should review the file to verify completeness. Once this occurs, the homeowner(s) may leave.
 - The homeowner will present any documentation to the MA. MAs should filter and make copies of necessary materials.

(See "Section 4.6.5: Required Documentation for Payment Processing-Elevation/Reconstruction")

All documentation will be scanned into the computer and saved to a folder with the homeowner's full name and RH applicant ID number (i.e., Jane Doe- 06HH000000). At the close of each day, this information will be stored to a jump drive in a folder with the outreach event location and day (i.e., New Orleans 09-24-08). Upon returning to the office, the information will be transferred to the designated Mitigation Analyst. They will fill in their respective Tracking Spreadsheet with the information for each homeowner.

^{*} Homeowners will be asked to arrive ten minutes prior to their appointment time in order to check in. Late homeowners will have to reschedule (unless there is a cancellation) for another appointment time, as this would disrupt the entire schedule for the day.

Note: If computers and scanners are not available, hard copies will be made of all documents and arranged in the project folder according to Exhibit 11: Project Folder Stacking Order.. This is the current method of document collection.

- Copies will be made, hole-punched, and placed into a folder.
- The mitigation activity (elevation or reconstruction) will be identified, but will be verified at initial inspection.
- Work in Progress status will be identified, if applicable, and later verified using a combination of initial inspection photos and review of homeowner documentation provided.
- It is folder prep's responsibility to transfer folder to homeowner meeting table after walking homeowner to training room.
- 5. Homeowners will then be brought to the Training/Briefing Room for a 15 minute "OCD-DRU HMGP Briefing Session". There will also be a 15 minute question and answer session. This training will explain the differences between elevation and reconstruction, HMGP requirements, etc.
- 6. Homeowners will then be sent to appropriate designated table. OCD will have one Mitigation Analyst at each table to process the documentation and answer homeowner questions. When possible, the MA should meet the homeowner in training room and walk them to their respective meeting area.

The Mitigation Analyst will review both the Voluntary Participation Agreement and the Covenant Rider with the homeowner. Any questions regarding each will be answered. The homeowner will voluntarily sign each document, the signing of the latter document occurring in the presence of a notary and two witnesses. MAs must review form for accuracy and to ensure completeness.

*Note: Upon completion of the entire outreach event, the RS/ARS should provide a synopsis with compiled Daily Rollup figures to AHMM.

4.5.3 Call Center

Support Purpose

The Call Center (CC) serves as the 1st tier communication with homeowners calling to learn more about the OCD-DRU HMGP. Homeowners are filtered through a series of questions which allows for efficient processing.

- All inbound phone calls to the 877-744-7235 and 225-339-3746 will ring at the "Call Center."
 Any Call Intake Specialist (CS) can pick up the call by pressing "#4."
- The first person to pick up the call will be connected to the caller.
- If the call is not answered after 4 rings (all attendants are occupied or the call is received after business hours), the call will go to Audix voice mail general delivery box.
 - To set up and/or check the Audix general delivery voice mail box one must:
 - Dial 5050

- You will be prompted to enter your extension plus pound (#)
- You will then be asked to enter your password which is the extension plus 1 plus #
- Follow the prompts to set up your greeting/ or retrieve messages
- If the call is for a specific MA, the call will be "hot transferred" (CS will wait for MA to answer the line). The call will be recorded in SharePoint Tasks by the CS for inbound call tracking purposes.

(Note: A Regional Staff extension list will be posted at each phone station to assist with proper call transfer. The CS is responsible for updating these as new lists are made available.)

- If the MA is not at their desk or not available the CS will pick the call back up ask the caller if they would like to leave a voice mail message and transfer the call to the MAs voice mail. The call will be recorded in SharePoint Tasks by the CS for inbound call tracking purposes.
- If the caller would prefer a written message be sent to the MA, then the CS will enter a message in SharePoint "tasks" only.
 - SharePoint Task Messaging Details:
 - The emailed "task" has a beginning and end date. The end date for the call to be returned will be set to 4 business days from the current business date.
 - If the call is in regard to the Individual Mitigation Measures (IMM) program, a "task" will be entered in SharePoint and routed to the Individual Mitigation Measures Voicemail.
 - The IMM voicemail requests that callers leave their Road Home (RH) identification number, telephone contact number and property address in the message.
 - A call specialist will retrieve the messages and enter the responses directly into SharePoint as a record of the caller's interest.
 - All IMM calls will have the caller's Road Home (RH) identification number, contact number and property address included in the message.
 - If a caller is interested in the HMGP reconstruction/elevation program and the IMM program, two messages will be created and routed accordingly per SOP instructions.
 - All call backs will be made within 5 business days during regular business hours
 (8:00am 6:30pm M-F) or at any time outside of that timeframe specifically requested
 by the caller.
 - If any of the Regional staff members will be out of the office or unavailable, they
 are required to leave an away message on their Blackberry, Audix Voice Mail and
 email.
 - If the call is a general call from a Homeowner who has not begun elevation or reconstruction, the CS will create a "task" in SharePoint denoting applicable comments so that the call can be hot transferred to the Response Team. If no one is available to answer the call in the Response team, the task will be assigned to a designated Response Specialist.

Note: The Response Team acts as a 2nd tier of communication. They are responsible for the oversight of all homeowners with a status of "Not Started."

- If the call is from a Homeowner who has either begun or completed elevation or reconstruction, the CS will discern which parish the damaged property is located in and create a "task" in SharePoint and route as follows:
 - Team I Orleans ATL
 - Team II Jefferson ATL
 - Team III Calcasieu/all Other to MA responsible for the particular parish per the map provided by TL
 - With the Exception of Region 3, the regional Point of Contact (POC) will route the call via "task" in SharePoint to a MA on their team
 - That MA will take ownership of the file and be the constant POC for the Homeowner through file closing.
 - The MA will give the Homeowner their personal contact information including extension number, Blackberry number and email address.
- If an MA receives an inbound call message via SharePoint Tasks they will update the task by:
 - Opening the task and clicking on edit
 - Proceed by entering the type of follow up resulting from the message in the "outbound tracked event" field.
 - Mark the task "complete" in the Call Status field
- All new outbound phone calls to Homeowners/applicants will be recorded in SharePoint Task using the "outbound tracked event" field.
- o If a caller is deemed ineligible (i.e.- not a Road Home Option One participant) the following information will be captured in SharePoint Tasks and routed to a designated CS:
 - o The caller's name, contact number, damaged parish, damaged property address and any applicable notes to document the message.
- At least one CS must be on duty at all times in the "Call Center" between the hours of 7am and 7pm M-F and 7:30am – 12:30pm Saturdays.
- The CS will follow the HMGP Incoming Call Flow Chart (See Appendix 4.4 & 4.4A)
- The CS will follow a staggered lunch schedule.
- After hours, on weekends, during holidays and at times when all staff are not available, the phone will be answered after 4 rings by Audix Voice Mail and messages will be left in the general delivery mail box.
 - All messages will be retrieved by 7:30am the next business day or immediately after a departmental meeting/absence.
 - A designated CS and CT will be responsible for checking the voice mail and routing
 messages at least three times daily (morning, noon and evening and after
 departmental meetings) in addition to checking the message/functionality of the phone
 system daily.

4.5.4 Response Team

Purpose

The Response Team (RT) provides a second tier communications filter to applicants who are interested in the elevation or reconstruction of their home but have yet to break ground.

Applicants are routed to this team by the Call Center (CC) to further determine their current position in the Hazard Mitigation Grant Program process. The RT prepares applicants for the HMGP process by determining if required VPA documentation and FEMA clearance has been secured. Additionally, the RT is responsible for the mailing of Elevation or Reconstruction guidance to the homeowner in addition to providing programmatic information (i.e. Brochures, checklists, etc.)

The Response Team Call Intake Specialists (CS) will be supported by and actively work with the Response Team POC and 2 Mitigation Analysts.

Work Hours

- 1. Hours of operation are 8:00am to 7:00pm.
- 2. Phone calls will be answered and returned starting at 8:00am. Collection of previous day call list, gathering information and daily prep will be done for 30 minutes before calls are answered (7:30am 8:00am).
- 3. The POCs for the team as well as the CS will have staggered lunch times. There will always be at least one POC and 3 CS "duty ready" during hours of operation.

Response Team Call Routing and Call Tracking

- All direct dialed inbound phone calls to the 866-993-0140 and 225-338-3210 will ring at the "Response Team Level I" pod. Anyone in the entire RT area (Level I & II) can pick up the call at any time by pressing "#4".
- The first person to pick up the call will be connected to the caller.
- If the call is not answered after 4 rings (due to all attendants on the phone or if the call comes in after business hours), the call will go to Audix voice mail RT general delivery box.
 - To set up and/or check the Audix general delivery voice mail box one must:
 - Dial 5050
 - You will be prompted to enter the extension plus pound (#) (3210#)
 - You will then be asked to enter the password which is the extension plus 1 plus # (32101#)
 - Follow the prompts to change the greeting/ or retrieve messages
 - Greeting changes must be approved by the Special Staff Supervisor (SSS)
 - It is the RT POC's responsibility to check the message/functionality of the phone system daily.
 - A CS will check the voice mail and route messages at least three times daily (morning, noon and evening and after departmental meetings)
 - The CS will retrieve the messages and enter the responses directly into SharePoint IB/OB Tasks and either

- o route to the RT POC for distribution for general call backs or
- o Route to the specific CS the message was left for.
- All call backs will be made within 4 business days during regular business hours or during the time frame deemed reasonable by the department while experiencing heavy volume.
- The CS will follow the HMGP Response Team Call Flow Chart Scripting when answering and returning calls.

Response Team Email Processing and Tracking

- All Email inquiries received in the Hazardmitigation@la.gov mailbox from Homeowners/applicants will be logged in SharePoint Tasks by the CS assigned to the mailbox.
- Any Email responses to Homeowners by the RT will also be logged in SharePoint Tasks by the person initiating the correspondence.
 - All email responses will be made within 1 business day during regular business hours or during the time frame deemed reasonable by the department while experiencing heavy volume.
 - The CS will follow the HMGP Response Team Call Flow Chart Scripting when answering and returning emails

Applicant Communication Process

The RT CS will communicate with program applicants that are identified as Road Home Option 1 applicants that have not started mitigation activity (Elevation or Reconstruction) and are interested in the Hazard Mitigation Grant Program.

The Response Team Call Specialist will identify that the following program requirements have been met:

- 1. Applicant is a Road Home Option 1 participant
- 2. Applicant has a signed original VPA on file
- 3. Applicant has been cleared by FEMA
- 4. Applicant is not in a V Zone and is in an ABFE Zone

Note: The information pulled from databases are used as a starting point. FEMA provides the actual determination as to whether a homeowner falls within the ABFE or Vzones.

The previous four requirements will be verified as follows:

- RHP Option 1 Applicant (Ask Applicant and Check eGrants to confirm)
 - To log on to eGrants:

Go to: https://citrix.road2la.org/Citrix/XenApp/site/default.aspx

- Use SharePoint Credentials to log into Citrix
- Select eGrants Icon on the left side of screen to bring up eGrants login screen
- Use eGrants Credentials to log in to eGrants
- Select Reviews
- Select Search

- Enter Road Home ID in the Application ID box and click on search to the right of the Application ID box
- Select the highlighted Road Home ID under the "Application ID" column
- The "Approve Grant Amount" screen should appear
- Scroll down in the "Closing Values" Column. Values should appear under either Option 1, 2, or 3.
- Closing Values should be under the Option 1 row only if the applicant is a Road Home Option 1 applicant
- If applicant is not a Road Home Option One applicant they are not eligible.
 This along with their interest in mitigation measures will be noted by the CS in SharePoint.
- <u>Signed VPA on file for the applicant</u> (VPA Tracker and SharePoint Target Group)
 - To log into SharePoint:

Go to https://tiger.road2la.org/hmgp/

- Use SharePoint Credentials to log into SharePoint
- Once in SharePoint, select "VPA Tracker" in the left-hand column to access the VPA Tracker
- Find the Applicant ID Column (Should be the 2nd column in list), select the arrow next to Applicant ID to bring up a list of Road Home IDs
- Select the Road Home ID you wish to view and all responses from the VPA should populate across the row
- If you cannot locate the Road Home ID, Check the Target Group for a VPA on file
- To access the Target Group, select "Target Group" in the left-hand column
- When the Target Group Loads, Find the "APP ID" Column (Should be the 2nd column in list), select the arrow next to Applicant ID to bring up a list of Road Home IDs
- Select the Road Home ID you wish to view and scroll over until you see the "VPA" column
- If the column says yes, there is a VPA on file
- If the column says no, the applicant will need a VPA sent to them via mail, fax, or email.
 - This will be noted on the SharePoint Tasks form and a VPA will be sent to the applicant.
 - A follow up call will be placed to all applicants that a VPA form was sent to if the form has not been received within 7 business days.
- <u>FEMA Clearance, V Zone and ABFE Locations</u> (Desktop1 Database and/or SharePoint Target Group)
 - To access the Desktop1 Database, Click on the Microsoft Access icon named Desktop1 (If you do not have the this icon, please log a SharePoint request with IT to obtain it)
 - Once the Database opens, select "Options" next to Security Warning to the left of the screen
 - Select Enable this content
 - Double-click on SP Universe on the left side of the screen
 - Hold down Ctrl+F to pull up the Find and Replace box
 - Type the Road Home ID in the Find and Replace box and select Find next on the right

- This should search the database for the applicant you are looking for
- If the applicant is cleared, a FEMA cleared date should be populated in the "Cleared_Dt" column (This should be the 9th column)
- You should also be able to view the ABFE Zone column and the DFIRM Zone column (Columns 12 and 13, See "FEMA Frequently Asked Questions: General Information" in order to determine ABFE and V zone eligibility)
- Check for ABFE Location (Desktop1 Database)
- Check for V Zone Location (Desktop1 Database)
- If the applicant is not cleared the CS will add the applicant to the target group list in order to gain FEMA clearance.
 - This will be noted on the applicants SharePoint Tasks form
 - The list will be checked weekly for FEMA Clearance by the CS
 - Once the applicant is cleared a phone call will be made to the applicant and a clearance letter will be mailed.

The RT CS will also describe the benefits of mitigation policies and explain OCD- DRU HMGP guidelines and requirements.

Administration Functions:

The administrative functions of the Response Team include the following:

- Cataloging and Reporting the status and progress of program applicants that are currently being processed by the team.
- Sending and processing applicant VPA forms by mail, fax, or email.
- Requesting FEMA Clearance when applicable.
- Verifying FEMA Clearance and sending FEMA Clearance letters
- Providing program policy and required documentation information to applicants

When the following has been achieved and verified the RT will forward qualified applicants via SharePoint Tasks to the Regional Team Leads who meet the following criterion:

- RHP OPTION 1
- Original Signed VPA in file
- FEMA Cleared
- Have begun actual elevation or reconstruction work on their structure

4.5.5 Placing and Receiving Relay Assisted Phone Calls

Purpose

To document procedures to be used when communicating through the Louisiana Relay Service with homeowners who are hearing or speech impaired.

Overview

The Louisiana Relay Service provides traditional relay services for the state of Louisiana through Voice to TTY, Voice Carry Over, Hearing Carry Over, and Speech to Speech. This service enables persons with hearing and/or speech impairments using a TTY to communicate via telephone.

- <u>TTY to Voice</u> is the most common way to connect through the relay. A TTY is a device which allows the homeowner to type their message and read the other party's response on a screen. A Communication Assistant (CA) reads the homeowners typed message and then types the other parties' response provided by the other party.
- Voice Carry Over (VCO) is for homeowners who can communicate clearly by speaking, but have difficulty hearing. The homeowner would clearly speak directly to the other party and the CA would type the response back to the homeowner for them to read on their TTY.
- Hearing Carry Over (HCO) is for homeowners who can hear on the phone, but have difficulty speaking clearly. The homeowner would type their message on their TTY for the CA to relay to the other party then the homeowner listens for the other parties' response provided by the other party.
- Speech to Speech is for homeowners who can hear but have difficulty speaking or being understood on the phone. The homeowner speaks and the CA revoices the homeowner's conversation then the homeowner listens for the other parties' response. Speech to Speech differs from HCO in that the homeowner will not use a TTY to type their message. With Speech to Speech the homeowner voices their own message and the CA revoices for clarity.

Procedure

- A. Incoming Calls
 - a) OCD-DRU staff (Staff) answers incoming phone call
 - b) The Communication Assistant (CA) identifies themselves as follows: "Louisiana Relay CA number (____) are you familiar with the relay?"
 - c) First time user answers "No, If not a first time user answer "Yes" and skip to step e.
 - d) CA explains what the relay is and how it works.

Note: Relay Explanation varies for each type of relay call (Voice to TTY, VCO, HCO, or Speech to Speech).

<u>Exception:</u> Some relay users ask the CA not to identify the relay. In these instances the CA will read what the homeowner has typed or if the homeowner uses VCO they will begin speaking. The CA or homeowner will not use relay language or "Go Ahead". There will be a delay in the response

from the CA after Staff answers the phone and after Staff speaks each time. Staff should remember that this is a relay call and patiently wait for responses from the homeowner.

e) CA begins to relay message for TTY to Voice & HCO

Note: For VCO calls the homeowner will speak themselves and for Speech to Speech the homeowner will speak and the CA will repeat for clarity.

f) Once the CA has finished voicing the homeowner's conversation (exception: homeowner speaks for VCO) wait for CA or homeowner to say "Go Ahead" before speaking. When Staff has finished speaking and would like the homeowner to reply say "Go Ahead".

Note: The CA or homeowner will always say "Go Ahead" when they have finished speaking and is ready for Staff to speak. Staff should always direct their conversation to the homeowner and not to the CA. Speak to the homeowner as if the CA was not on the line.

Note: <u>Do Not</u> (1) Say things such as "Can you tell them, Ask them", (2) Try to converse with the CA, or (3) Remain on the line once the homeowner has hung up and attempt to converse with the CA.

Note: If Staff does not speak directly to the homeowner as if the CA is not there, the CA will say the following "Please direct your conversation to the caller".

g) At the close of the conversation Staff says "Bye Go Ahead", wait for the homeowner to respond by saying "Bye", and hang up. Exception: Once VCO homeowner says "Bye", Staff may hang up".

B. Outbound Calls

- a) Dial 1-800-947-5277 to connect to the Louisiana Relay.
- b) A Communication Assistant will answer and identify themselves as follows: "Louisiana Relay CA (__) area code and phone number please".
- c) First time users should ask the CA to explain the relay, If not a first time user skip to step E.

Note: Relay Explanation varies for each type of relay call (Voice to TTY, VCO, HCO, or Speech to Speech)

- d) CA explains the relay and again asks for the area code and phone of the party Staff would like to call.
- e) Staff gives the CA the area code and phone number of the homeowner.
- f) CA dials the number and communicates to Staff when homeowner has answered the phone by voicing the homeowners typed introduction.

Exception: For homeowners using VCO the homeowner will speak and indicate to the CA that they use VCO. Once the CA has finished voicing the homeowner's introduction (exception: homeowner speaks for VCO) wait for CA or homeowner to say "Go Ahead" before speaking.

Note: For VCO calls the homeowner will speak themselves and for Speech to Speech the homeowner will speak and the CA will repeat for clarity.

Note: At the beginning of the conversation, always wait for the CA to prompt you by saying "Go Ahead" prior to speaking.

Exceptions:

- 1. <u>Party other than Homeowner answers:</u> If a party other than the homeowner answers the CA will identify the relay so that the party on the line may give the phone to the homeowner.
- 2. <u>No Answer/Busy Signal:</u> If the line is busy or there is no answer, Staff should either tell the CA thank you and hang up or ask the CA to redial.
- 3. <u>Answering Machine:</u> If a TTY answering machine picks up, the CA will read the message and ask Staff if they would like to leave a message. Staff should identify themselves with their name, organization's name, and number at which homeowner can reach them.
- g) When Staff has finished speaking and would like the homeowner to reply say "GO Ahead".

Note: The CA or homeowner will always say "Go Ahead" when they have finished speaking and is ready for Staff to speak. Staff should always direct their conversation to the homeowner and not to the CA. Speak to the homeowner as if the CA was not on the line.

Note: <u>Do Not</u> (1) Say things such as "Can you tell them, Ask them", (2) Try to converse with the CA, or (3) Remain on the line once the homeowner has hung up and attempt to converse with the CA.

Note: If Staff does not speak directly to the homeowner as if the CA is not there, the CA will say the following "Please direct your conversation to the caller".

- h) At the close of the conversation Staff says "Bye Go Ahead". . After homeowner says "Bye" the CA will say that the homeowner has hung up and ask if Staff would like to make another call. Exception: VCO callers will say bye and hang up. Once the VCO homeowner has hung up the CA will ask Staff if they would like to make another call.
- i) If Staff wishes to make another call, give the CA the next number. If Staff does not need to make another call, say "Thank You" and hang up.

For questions or additional information concerning the Louisiana Relay please contact Hamilton Telecommunications customer service at 1-888-699-6869, or log onto their website at www.hamiltonrelay.com/states/la.htm.

4.5.6 Correspondence Tracker

- All outbound mail to Homeowners is required to be logged into SharePoint Tasks as an
 Outreach Letter, VPA Letter, or other Homeowner Correspondence by the person initiating
 the correspondence or their designee. For the purpose of "Other Homeowner
 Correspondence" the enterer should insert comments regarding the exact type of
 correspondence (i.e. Conditional payment, WIP guidance, etc.)
- A copy of the signed letter will be placed in the applicant's file as well as in the Team Regional Reader File which is archived by the month/year in which the document was sent.
- Envelopes will then be stamped with the HMGP departmental account number.
 - Each Team Leader has a stamp and is responsible for the use of the stamp.
- The outgoing mail is placed for collection in a bin at the payroll sign-in desk. A note card located on the bin indicates if the mail has been picked up for day.
- The outgoing mail, along with any inter-office mail is brought to the State Office Building (SOB), located at 150 Third Street Baton Rouge LA, for collection and post marking by the Correspondence Tracker (CT) or their designee. The collection point is located on the 5th floor in the reception area. Outbound mail is picked up at the SOB at 12:30pm.
- If the mail run is after 12:30 or there is a large quantity of outgoing mail, then the outgoing mail may be brought to the State mail processing center at 1255 Brickyard Lane. This facility is located off South Boulevard in Baton Rouge, LA.
- All OCD-DRU Incoming mail is picked up every business day by the Correspondence Tracker or their designee at the Baton Rouge Downtown Post Office located at 750 Florida Street using PO Box 5098.
 - The proper incoming addressing is:
 - OCD- Disaster Recovery Unit, PO Box 5098, Baton Rouge, LA 70821-5098.
- All Inbound Mail to HMGP is required to be logged into SharePoint Tasks as an Inbound Letter, VPA Letter, or other Home Owner Correspondence by the CT or their designee and then distributed to the addressee. For the purpose of "Other Homeowner Correspondence," the enterer should insert comments regarding the exact nature of the type of correspondence (i.e. withdrawal letter, Appeal, Conditional Payment letter form, etc.)

4.6 Status of Project Structures

4.6.1 Not Started

Homeowners that have NOT STARTED (NS) Elevation or Reconstruction measures are assigned to the Response Team (RT) until a homeowner commences mitigation activity.

o If Eligible as Work Not Started

If project is determined to be eligible as Work Not Started, the Response team (RT) will work with the homeowner to select a licensed contractor, provide technical assistance to the homeowner as needed, and ensure that the following documents are obtained and recorded into the OCD SharePoint system prior to transferring the structure to the "Strike Team" (ST):

<u>Documentation</u>

- Original signed VPA
- Signed, notarized & recorded Homeowner Covenant Rider
- Building Permit
- Construction Contract (if applicable)
- Approved Building Plans (Reconstruction Only)
- Estimated Damage (if applicable)
- Insurance Payouts (thus far)

Note: Egrants approved screen with applicant DOB listing

- Power of Attorney documentation (if applicable)
- W-9 form (original)
- Electronic Funds Transfer form

Note: This form must be mailed to OSRAP. Reference the Financial Section for EFT procedures.

• Once verification of construction is received, the file will be transferred to the applicable Regional Team lead for MA assignment.

Note: See Section 4.5.4: Response Team for specific procedures

4.6.2 Work in Progress (WIP) and Completed Structures

HMGP Requirements

To be eligible for retroactive approval, the mitigation activities must meet all applicable HMGP and federal requirements. The guidance does not waive any requirements of the HMGP regarding completeness of applications and eligibility criteria (i.e., elevation to the ABFE or preliminary Digital Flood Insurance Rate Maps (pre-DFIRMs) base flood elevations if applicable, cost-effectiveness, voluntary participations, and compliance with all applicable Federal, State, and local laws, executive orders, regulations and ordinances, including applicable environmental and historic preservation (EHP) compliance requirements). All information typically required in a HMGP project application must still be submitted.

o Properties Affected by the Events

All mitigation activities must have been undertaken as a direct result of the events (disasters) and in conjunction with the repair or restoration of a structure or facility damaged during Hurricanes Katrina and Rita. This does not include activities associated with a structure or facility that was not damaged by the event.

Verification

Verification that the structure or facility was damaged from the event may be documented by items such as:

- Insurance Claims
- Inspection report completed after event
- Proof of assistance through FEMA's Individual Assistance (IA) or Public Assistance (PA) program
- Dated photographs; and/or
- Flood data verifying inundation

Work Initiated within FEMA Eligible Timeframe

This exception is available for mitigation activities that were initiated after the date of declaration but prior to March 16, 2008. Initiation of a mitigation activity is defined as actual physical work, such as groundbreaking, demolition, and construction of raised foundation occurring prior to March 16, 2008.

Mitigation activities that are planned for implementation after March 16, 2008 remain eligible for consideration under the HMGP, but must be submitted for review and approval prior to work being initiated.

FEMA, at its discretion, will determine whether documentation submitted is acceptable to verify that mitigation work was initiated between the dates of the events and by March 16, 2008. Documentation may include:

- Invoices showing the actual dates of physical work of the mitigation activities
- Signed statement from a contractor certifying the date and the mitigation activity was initiated on-site
- Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity
- Inspection report by the local building official dated no later than March 16, 2008

Those activities submitted for consideration without the appropriate documentation provided in the application are not eligible under this exception.

- For both Elevation and Reconstruction projects, verify applicant's program eligibility and documentation used to verify eligibility:
 - a. Applicant was an eligible applicant of the *Road Home* (RH) Program.
 - Acceptable documentation: Final Disbursement Statement, File Balance Sheet, Disbursement Summary from official RH closing documents
 - <u>Verification</u>: Verify applicant's name matches the name and damaged address on the payment cover sheet

NOTE: If the applicant has not closed on a RH grant, the RH Approved Grant Screen is acceptable to verify eligibility

- b. Applicant selected *Road Home* Option 1- Keep your home.
 - Acceptable documentation: Road Home Approved Grant Screen
 - <u>Verification</u>: Verify applicant's ID, name, and damaged address match the ID, name, and damaged address on the payment cover sheet
- c. Applicant owned the home at the time of the event
 - Tax Match applications only
 - Acceptable documentation Road Home Approved Grant Screen.
 Note: Refer to RH eGrants 6_3 Status Bar Job Aid 10_11_07 Ready to Close section for clarification
 - <u>Verification</u>: Verify applicant's ID, name, and damaged address match the ID, name, and damaged address on the payment cover sheet. Verify Tax Match was received and date of receipt as indicated on the Approved Grant Screen in the Title Search Information section.
 - Abstract and Full Title Search applications
 - <u>Acceptable documentation</u> Road Home Title Search Results. Title Search results will be attached in eGrantsPlus (eGP) in the Option Selection Documents section of the Application Data report.
 - Note: Refer to RH Title Job Aid for examples of title search results
 - <u>Verification</u>: Verify at least one person listed as an applicant in the HMGP file is listed as an owner on the title search results, except in the case of death of an owner. Verify property was acquired prior to the respective disaster
- d. Applicant still owns the home that was eligible for *Road Home* benefits.
 - Acceptable documentation: Self-Certification Affidavit for Ownership and Occupancy or project specific Voluntary Participation Agreement (VPA)
 - <u>Verification</u>: If Self-Certification Affidavit for Ownership and Occupancy is used verify all required applicant information has been completed and signed by the applicant, the form has two witness signatures, and the form is dated. If the VPA is completed, use the verification steps listed in Section.
- e. The home is located in a floodplain based on the Advisory Base Flood Elevation or the mitigation measure is deemed cost beneficial in accordance with FEMA guidelines.
 - <u>ABFE Acceptable documentation</u>: FIRM Map, OCD Applicant Flood Database, Elevation Certificate
 - Verification:
 - FIRM Map: If FIRM Map is selected, a copy of the appropriate map panel must be in the package, the applicant's street name or vicinity must be clearly visible (a MapQuest search may accompany to identify location more accurately), and the map must show property is located in a designated ABFE zone.
 - OCD Applicant Flood Database: If OCD Applicant Flood Database is used verify applicant's name, Floodway designation, COBRA zone designation, and ABFE designation.

- *Elevation Certificate*: If Elevation Certificate is used verify applicant's name, damaged address, and ABFE zone designation.
- Other Acceptable Documentation: Benefit Cost Analysis (BCA) report
- <u>Verification</u>: Verify BCA report shows that structure meets at least 1:1 ratio, at minimum for every dollar spent a dollar benefit is gained.

f. Assignment of Rights Eligibility:

Per Road Home Policy: "Assignment is the act of transferring financial benefits of the *Road Home* program from the original eligible applicant to a new applicant." FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma guidance specifies that the applicant must have been the owner of the damaged property at the time of the event; therefore, reconstruction projects will not be eligible.

Note: Assignment of Rights cases would only be eligible for reimbursement for elevation projects, not reconstruction, except in the case of death or incapacity of the homeowner.

- Acceptable documentation: Road Home legal assignment authorization form entitled
 "Assignment of Road Home Grant Proceeds" or legal equivalent prepared by attorney
 and signed by both Original Owner and Assigned Owner. Assignment of rights
 executed in sales agreement or Act of Donation or Quit Claim Deed between the
 Original Owner and the Assigned Owner.
- <u>Verification</u>: Verify assignment agreement is attached in the attachment section in the Applicant Data report in eGP. Verify applicant is listed as the assignee and was the recipient of the RH funds.

4.6.3 Project Specific Review Procedures

Elevation Midpoint Payment Review Procedures (Elevation Midpoint is defined as the point at which the structure is elevated)

- a. <u>Verify appropriate Midpoint Payment Request cover sheet</u> (Exhibit 7) is attached to file and all fields are completed correctly as referenced in the HMGP Payment Package Review Desk Reference guide (Exhibit 10)
- b. <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is tabbed in order documents are requested on the payment cover sheet. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 1. Appropriateness for project (Elevation VPA form)
 - 2. Completed correctly as determined below:

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I am interested in receiving an HMGP Award."
	Answer has been selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet

the latest elevation standards in my community before March 16th. I expect to start by, "the form is still "complete" if the person did not list a date in the blank.)
The applicable blanks have been complete and signature is present.

- Signed & Notarized OCD-DRU HMGP Covenant (Note: Rider will not be recorded at the time of mid-point payment.)
 - 1. The Covenant should represent the appropriate applicant.
 - 2. All pages of the Covenant should be included.
 - 3. The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until a FEMA- GOHSEP approved document is in place.

- Building Permit
 - 1. Verify the permit reflects the correct damaged address
 - 2. Permit is for the elevation project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - 1. Ensure only costs associated with eligible mitigation activity are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - 2. Total Project Cost calculations will be made using documentation the homeowner provides for eligible items. In cases where the homeowner has paid cash and is unable to locate the contractor who performed the work, a notarized affidavit from the homeowner stating the work performed and amount of money paid for said expenditure will be deemed acceptable by the Grantee, Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP). Where possible attempts will be made to issue midpoint payments using verified total project costs.
 - 3. Verify items included for reimbursement are dated after the start of the elevation project. Only eligible items directly resulting from the elevation project are reimbursable.
- Payout Summary and Payouts Received Thus Far:
 - 1. ICC
 - a. Verify documentation reflects the correct damaged address
 - b. Verify date of loss
 - c. Verify amount received was designated for elevation
 - d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 2. RH Flevation Incentive
 - a. Verify documentation reflects the correct damaged address

- b. Verify amount applicant is currently eligible to receive (using the column to the far right from the Approve Grant Screen from eGrantsPlus, the column title will vary depending on applicant's application status at time)
- WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
 - The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - 1. Invoices showing the actual dates of physical work of the mitigation activities.
 - 2. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - 3. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - 4. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
 - The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - 1. Insurance claims
 - 2. Inspection report completed after the event
 - 3. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - 4. Dated Photographs
 - 5. Flood data verifying inundation
 - The following are examples of documentation that confirm expenditures:
 - 1. Dated receipts
 - 2. Paid invoices
 - 3. Cancelled checks with accompanying invoices
 - 4. Payroll records
- Construction Start Verification
 - If the property funded and/or cleared under the WIP waiver, verification of the
 construction start date is needed. The applicant should not have initiated work
 prior to the FEMA clearance date. This date may be verified using the
 Universe List in SharePoint. If applicant initiated work prior to the FEMA
 clearance start date, the applicant is not eligible to participate in the HMGP at
 this time.

Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" the property prior to payment processing.

- Midpoint Inspection Form, Exhibit 8, and Photos (Verifying 50% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Elevation Certificate
 - 1. Verify correct damaged address
 - Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify that date listed is after the date of construction commencing.
 - Verify that certification is present.
 Note: Elevation Certificate should be listed as either "Under Construction" or "Final" for Midpoint.
- The following documentation may be included but is not required for midpoint payment issuance and will be considered as supporting documentation.
 - Approved Building Plans
 - Proof of Flood Insurance

Reconstruction Midpoint Payment Review Procedures (Reconstruction Midpoint is defined as the completion of the framing for the house.)

- a. <u>Verify appropriate Midpoint Payment Request cover sheet (Exhibit 7)</u> is attached to file and all fields are completed correctly as referenced in the HMGP Payment Package Review Desk Reference guide (Exhibit 10).
- b. <u>Verify eligibility per Square Footage Comparison Rule</u>. Per FEMA guidance, the reconstructed structure's square footage can be no more than 10% larger than the square footage of the original structure.
 - Verify documentation used to determine original square footage reflects the correct damaged address and only square footage value.
 - Examples of acceptable documentation: Appraisals reflecting value prestorm, building permits reflecting original square footage, RH Technical Compensation Allowance Determination (CAD) report, and RH ordered appraisal. Additional documentation will be reviewed on a case-by-case basis.
 - Verify documentation used to determine new square footage reflects the correct damaged address or applicant name and only square footage value.
 - Examples of acceptable documentation: Appraisals reflecting value post-construction value, building plans of proposed construction, and building permits reflecting new square footage. Additional documentation will be reviewed on a case-by-case basis.
 - Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original

structure's square footage, the applicant is not eligible to receive funding from the program.

- c. <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is in correct tabbed order. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 1. Appropriateness for project (Reconstruction)
 - 2. Completed correctly as determined below
 - a. Appropriate date is entered
 - b. Authorized Agent line is completed by an OCD representative
 - c. Property Owner line is completed by the applicant, co-applicant, or both
 - d. Property address line reflects the damaged address
 - e. Property Owner(s) has/have signed and dated the form
 - f. Sub-Grantee's Authorized Agent (OCD representative) has signed and dated the form
 - Signed & Notarized OCD-DRU HMGP Covenant
 Note: Covenant will not be recorded at the time of mid-point payment.
 - 1. The Covenant should represent the appropriate applicant.
 - 2. All pages of the Covenant should be included.
 - 3. The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenant Riders until a FEMA-GOHSEP approved document is in place.

- Building Permit and Demolition Permit
 - 1. Verify both permits reflect the correct damaged address.
 - 2. Permits should be for the reconstruction and demolition project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - 1. Ensure only costs associated with eligible mitigation activities are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - 2. Total Project Cost calculations will be made using documentation the homeowner provides for eligible items. In cases where the homeowner has paid cash and is unable to locate the contractor who performed the work, a notarized affidavit from the homeowner stating the work performed and amount of money paid for said expenditure will be deemed

- acceptable by the Grantee, Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP). Where possible, attempts will be made to issue midpoint payments using verified total project costs.
- 3. Verify items included for reimbursement are dated after the start of the reconstruction project. Only items directly resulting from the reconstruction project are reimbursable.
- Payout Summary and Payouts Received Thus Far
 - 1. RH Compensation (Compensation Grant and Additional Compensation Grant total, if applicable)
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - 2. RH Elevation Incentive
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - c. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 2. Hazard Insurance
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant has received to date
 - c. If hazard payout information is provided, verify the date of loss is for the appropriate hurricane.
 - 3. Flood Insurance
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant has received to date
 - c. If flood payout information is provided, verify the date of loss is for the appropriate hurricane.
 - 4. FEMA IA (For Home Repair)
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount designated for home repair the applicant has received to date
 - c. If FEMA Individual Assistance information is provided, verify the date of loss is for the appropriate hurricane.
 - 5. ICC
 - a. Verify documentation reflects the correct damaged address
 - b. Verify date of loss
 - c. Verify amount applicant has received to date
 - d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
- WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the

Universe List in SharePoint to verify if the property was approved as a WIP.

- The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - a. Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
- The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - a. Insurance claims
 - b. Inspection report completed after the event
 - c. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - d. Dated Photographs
 - e. Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices
- Construction Start Verification
 - o If the property was not funded and/or cleared as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time. Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.
- Midpoint Inspection Form (Exhibit 8) and Photos (Verifying the 50% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed

- 3. Verify midpoint photos of the residence
- Elevation Certificate
 - 1. Verify correct damaged address
 - 2. Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify that date listed is after the date of construction commencing.
 - Verify the certification seal is present.
 Note: Elevation Certificate should be either "Under Construction" or "Final" for Midpoint.
- d. The following documentation may be included but is not required for midpoint payment issuance and will be considered as supporting documentation.
 - 1. Approved Building Plans
 - 2. Certificate of Occupancy
 - 3. Proof of Flood Insurance

Elevation Final Payment Review Procedures (Elevation Final is defined as the completion of elevation activity resulting in a compliant structure.)

- a. <u>Verify appropriate Final Payment Request cover sheet</u> is attached to file and all fields are completed correctly.
- b. <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is tabbed in order documents are requested on the payment cover sheet. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 1. Appropriateness for project (Elevation VPA form)
 - 2. Completed correctly as determined below:

<u>VPA</u>	<u>Comments</u>
RH Applicant ID # Section 1:	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.) Homeowner checked "I am interested in receiving an HMGP Award."
Section 2:	Answer has been selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet the latest elevation standards in my community before March 16th. I expect to start by, "the form is still "complete" if the person did not list a date in the blank.)
Section 3:	The applicable blanks have been complete and signature is present.

- Signed & Notarized OCD-DRU HMGP Covenant
 - 1. The Covenant should represent the appropriate applicant.
 - 2. All pages of the Covenant should be included.

3. The parish and date on the first page of the OCD-DRU HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until FEMA-GOHSEP approved document is in place.

- Building Permit
 - 1. Verify the permit reflects the correct damaged address
 - 2. Permit is for the elevation project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - 1. Ensure only costs associated with eligible mitigation activity are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - 2. Total Project Cost calculations will be based on Verified TPC (VTPC). The documentation used in the calculation is of VTPC includes, but is not limited to, paid invoices, cancelled checks, and/or receipts documenting work.
 - 3. Verify items included for reimbursement are dated after the start of the elevation project. Only eligible items directly resulting from the elevation project are reimbursable.
- Payout Summary and Payouts Received Thus Far:
 - 1. ICC
 - a. Verify documentation reflects the correct damaged address
 - b. Verify date of loss
 - c. Verify amount received was designated for elevation
 - d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 2. RH Elevation Incentive
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive (using the column to the far right from the Approve Grant Screen from eGrantsPlus, the column title will vary depending on applicant's application status at time)
 - c. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
 - The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:

- a. Invoices showing the actual dates of physical work of the mitigation activities.
- b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
- c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
- d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
- The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - a. Insurance claims
 - b. Inspection report completed after the event
 - c. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - d. Dated Photographs
 - e. Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices
 - d. Payroll records

Construction Start Verification

• If the property was not approved as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time.

Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.

- Final Inspection Form (Exhibit 8) and Photos (Verify 100% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Final Elevation Certificate
 - 1. Verify correct damaged address
 - 2. Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify date listed is after the date of construction commencing.

- 4. Verify that certification is present.

 Note: Elevation Certificate should be checked as "Final".
- Proof of Flood Insurance
 - 1. Verify policy is for flood coverage.
 - 2. Verify policy is for damaged address.
 - 3. Verify policy is currently in effect.

Reconstruction Final Payment Review Procedures (Reconstruction Final is defined as the completion of elevation activity resulting in a compliant structure.)

- a. <u>Verify appropriate Final Payment Request cover sheet (Exhibit 7)</u> is attached to file and all fields are completed correctly.
- b. <u>Verify eligibility per Square Footage Comparison Rule</u>. Per FEMA guidance, the reconstructed structure's square footage can be no more than 10% larger than the square footage of the original structure.
 - Verify documentation used to determine original square footage reflects the correct damaged address and only square footage value.
 - --Examples of acceptable documentation: appraisals reflecting value prestorm, building permits reflecting original square footage, RH Technical Compensation Allowance Determination (CAD) report, and RH ordered appraisal. Additional documentation will be reviewed on a case-by-case basis.
 - Verify documentation used to determine new square footage reflects the correct damaged address or applicant name and only square footage value.
 - ---Examples of acceptable documentation: appraisals reflecting value post-construction value, building plans of proposed construction, and building permits reflecting new square footage. Additional documentation will be reviewed on a case-by-case basis.
 - Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original structure's square footage, the applicant is not eligible to receive funding from the program.
- c. <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is in correct tabbed order. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 1. Appropriateness for project (Reconstruction)
 - 2. Completed correctly as determined below
 - a. Appropriate date is entered
 - b. Authorized Agent line is completed by an OCD representative

- Property Owner line is completed by the applicant, co-applicant, or both
- d. Property address line reflects the damaged address
- e. Property Owner(s) has/have signed and dated the form
- f. Sub-Grantee's Authorized Agent (OCD representative) has signed and dated the form
- Signed & Notarized OCD-DRU HMGP Covenant
 - 1. The OCD-DRU HMGP Covenant should represent the appropriate applicant.
 - 2. All pages of the OCD-DRU HMGP Covenant should be included.
 - 3. The parish and date on the first page of the OCD-DRU HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until FEMA-GOHSEP approved document is in place.

- Building Permit and Demolition Permit
 - 1. Verify both permits reflect the correct damaged address.
 - Permits should be for the reconstruction and demolition project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - 1. Ensure only costs associated with eligible mitigation activities are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - Total Project Cost calculations will be based on Verified TPC (VTPC). The
 documentation used in the calculation is of VTPC includes, but is not
 limited to, paid invoices, cancelled checks, and/or receipts documenting
 work.
 - 3. Verify items included for reimbursement are dated after the start of the reconstruction project. Only items directly resulting from the reconstruction project are reimbursable.
- Payout Summary and Payouts Received Thus Far
 - 1. RH Compensation (Compensation Grant and Additional Compensation Grant total, if applicable)
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - 2. RH Elevation Incentive
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive

c. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.

Hazard Insurance

- a. Verify documentation reflects the correct damaged address
- b. Verify amount applicant has received to date
- c. If hazard payout information is provided, verify the date of loss is for the appropriate hurricane.

4. Flood Insurance

- a. Verify documentation reflects the correct damaged address
- b. Verify amount applicant has received to date
- c. If flood payout information is provided, verify the date of loss is for the appropriate hurricane.

5. FEMA IA (For Home Repair)

- a. Verify documentation reflects the correct damaged address
- b. Verify amount designated for home repair the applicant has received to date
- c. If FEMA Individual Assistance information is provided, verify the date of loss is for the appropriate hurricane.

6. ICC

- a. Verify documentation reflects the correct damaged address
- b. Verify date of loss
- c. Verify amount applicant has received to date
- d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.

WIP Data Collection Form and documentation

- For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
- The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - a. Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.

- d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
- The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - a. Insurance claims
 - b. Inspection report completed after the event
 - c. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - d. Dated Photographs
 - e. Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices

Construction Start Verification

- o If the property was not funded and/or cleared as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time.
- Final Inspection Form (Exhibit 8) and Photos
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Final Elevation Certificate
 - 1. Verify correct damaged address
 - 2. Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify that date listed is after the date of construction commencing.
 - 4. Verify that certification seal is present.

 Note: Flevation Certificate should be "Final
 - Note: Elevation Certificate should be "Final" for final payment.
- Approved Building Plans
 - 1. Verify building plans are for residence.
 - 2. Verify building plans are dated post-disaster.
 - 3. Verify plans are stamped with engineers stamp.
 - 4. Verify building plans have been approved.

- Certificate of Occupancy
 - 1. Verify damaged address on certificate.
 - 2. Verify owner of structure, if listed.
 - 3. Verify permit number on certificate matches the issued building permit number.
 - 4. Verify certificate has been signed by the Floodplain Administrator and dated.
- Proof of Flood Insurance
 - 1. Verify policy is for flood coverage.
 - 2. Verify policy is for damaged address.
 - 3. Verify policy is currently in effect.

4.6.4 Review of Ineligible Project Folders

Currently common reasons for ineligible determinations are as follows:

- Not an eligible mitigation activity
 The following are ineligible mitigation activities per FEMA Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma guidance:
 - Retroactive property acquisitions for the purpose of open space
 - New flood protection projects
 - Vegetation management and soil stabilization
 - New storm water management facilities such as drainage projects and culverts
 - New coastal property protection measures including seawalls, beach nourishment, and revetments; and
 - Purchase and/or installation of stand-alone generators
 - For reconstruction projects, the newly constructed home's square footage exceeded 10% of the square footage of the original home.
 - The applicant initiated construction prior to receiving FEMA clearance. Note: Structures
 that commenced work prior to or on 3/16/2008 are eligible for clearance under WIP
 waiver. However, FEMA must "clear" file prior to payment processing.
 - The applicant was not an eligible Road Home applicant or has since sold their home.
 - Property owners who purchased the property following the disaster declaration with the exception of Assignments of Rights applicants from the *Road Home* program.
 - a. Not an eligible mitigation activity Review Procedures
 - ii. Review documentation used to determine activity performed was an ineligible activity.
 - iii. Verify documentation is for the appropriate damaged address
 - iv. If all documentation is sufficient to confirm ineligibility, the applicant's ineligibility is confirmed and the project folder is forwarded to TL/ATL for concurrence.
 - v. If all documentation is not sufficient to determine the applicant's ineligibility, project folder is returned to MA for corrective action.

- vi. If all documentation is sufficient to confirm ineligibility, the applicant's ineligibility is confirmed and the project folder is forwarded to QA/QC for concurrence.
- vii. If all documentation is not sufficient to determine the applicant's ineligibility, project folder is returned to TL/ATL for corrective action.
- viii. If all documentation is sufficient to confirm ineligibility, the applicant's ineligibility is confirmed by QA/QC and the project folder is returned to TL/ATL for homeowner notification.

b. Construction exceeded allowable square footage

- Verify documentation used to determine home's original square footage.
 - 1. Verify damaged address is reflected on documentation
 - 2. Verify effective date of the value ensuring the documentation reflects the pre-disaster value
 - 3. Verify value used is reflective of the original square footage area only
 - 4. Compare the documentation to other available sources for accuracy of value
 - 5. If acceptable, confirm original square footage and if not acceptable, forward file to ATL/TL for concurrence

ix. Verify documentation used to determine home's new square footage.

- 1. Verify damaged address or at minimum, the applicant's name, on documentation
- 2. Verify effective date of the value ensuring the documentation reflects postconstruction value or proposed post-construction value
- 3. Verify value used is reflective of the new square footage only
- 4. Compare the documentation to other available sources if available for accuracy
- x. If acceptable, confirm new square footage and if not acceptable, forward file to ATL/TL for concurrence
- xi. Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original structure, the applicant is not eligible to receive funding from the program.
- xii. If all documentation is sufficient and the difference between the two values is greater than 10%, ineligibility is confirmed and project folder is forwarded to ATL/TL for concurrence.

c. Ownership of damaged residence

xiii. Verify documentation used to determine applicant's ownership status xiv. Verify home purchase date

xv. Verify home purchaser is the applicant or co-applicant

- xvi. If confirmed as ineligible due to ownership, project folder is forwarded to ATL/TL for concurrence.
- xvii. If documentation is insufficient to determine ownership status, homeowner is contacted by MA for corrective action.
- d. Other specific ineligible mitigation activities and documentation will be examined on a case by case basis.

i. Required Documentation for Payment Processing

- For the purpose of **Elevation** the midpoint is defined as the point at which the structure is elevated.
- For the purpose of Reconstruction the midpoint is defined as the point at which the structure is framed.
- Final payments will be processed upon successful completion of the elevation or reconstruction activity.

Table 1- Midpoint Payment

Verification of the following based on program eligibility criteria:

Homeowner is an eligible participant of the *Road Home* program. (NOTE: Even if a homeowner received a zero award letter from Road Home, that homeowner may still be eligible for money through the OCD-DRU HMGP.)

- Homeowner selected Road Home Option 1—"Keep your home."
- Homeowner still owns the home that was eligible for Road Home benefits.
- The structure is located in a floodplain based on the Advisory Base Flood Elevation (ABFE) guidance or is deemed cost-beneficial in accordance with FEMA guidance.
- Homeowner agrees to meet all HMGP regulations as determined by FEMA, GOHSEP, and all the conditions listed in the OCD-DRU HMGP Award Covenant.

ELEVATION	RECONSTRUCTION			
Verification of Original signed & completed VPA	Verification of Original signed & completed VPA			
Signed & notarized Homeowner Covenant Rider	Signed & notarized Homeowner Covenant Rider			
Building Permit	Building Permit			
Elevation Certificate	Elevation Certificate			
-Must be listed as either "Under Construction" or	-Must be listed as either "Under Construction" or			
"Final"	"Final"			
-Must verify that ABFE/BFE, whichever is higher	-Must verify that ABFE/BFE, whichever is higher			
requirement	requirement			
Power of Attorney documentation (if applicable)	Power of Attorney documentation (if applicable)			
Construction Contract (if applicable)	Construction Contract (if applicable)			
Approved Building Plans (if available)	Approved Building Plans			
Estimated Damage (if applicable)	Estimated Damage (if applicable)			
Paid invoices, Receipts, and/or cancelled checks	Paid invoices, Receipts, and/or cancelled checks			
documenting work	documenting work			
WIP documentation (if applicable)	WIP documentation (if applicable)			
W-9	W-9			
EFT and voided check (or statement from a bank	EFT and voided check (or statement from a bank			
verifying the account can accept electronic funds) if an	verifying the account can accept electronic funds) if an			
electronic transfer is requested. If the applicant does not	electronic transfer is requested. If the applicant does not			
have an account which can accept electronic funds a paper check can be issued. In that case, an EFT and	have an account which can accept electronic funds a			
voided check is not necessary. (Note: This info must be	paper check can be issued. In that case, an EFT and			
sent directly to OSRAP by homeowner)	voided check is not necessary. (Note: This info must be sent directly to OSRAP by homeowner)			
RH Covenant	RH Covenant			
N/A	Verification of ownership at time of event and continued			
IVA	ownership			
Midpoint Inspection Photos	Midpoint Inspection Photos			
-Verify midpoint requirements met	-Verify midpoint requirements met			
	Documentation verifying the square footage of the			
N/A	damaged home and the new home			

Table 2 Final Payment

Verification of the following based on program eligibility criteria:

Homeowner is an eligible participant of the *Road Home* program. (NOTE: Even if a homeowner received a zero award letter from Road Home, that homeowner may still be eligible for money through the OCD-DRU HMGP.)

Homeowner selected Road Home Option 1—"Keep your home."

Homeowner still owns the home that was eligible for Road Home benefits.

- The structure is located in a floodplain based on the Advisory Base Flood Elevation (ABFE) guidance or is deemed cost-beneficial in accordance with FEMA guidance.
- Homeowner agrees to meet all HMGP regulations as determined by FEMA, GOHSEP, and all the conditions listed in the OCD-DRU HMGP Award Covenant.

ELEVATION	RECONSTRUCTION				
Verification of Original signed & completed VPA	Verification of Original signed & completed VPA				
Signed & notarized Homeowner Covenant Rider	Signed, notarized, & recorded Homeowner Covenant Rider				
Building Permit	Building Permit				
Paid invoices, Receipts, and/or cancelled checks documenting work	Paid invoices, Receipts, and/or cancelled checks documenting work				
Construction Contract (if applicable)	Construction Contract (if applicable)				
Approved Building Plans (if available)	Approved Building Plans (if available)				
Estimated Damage (if applicable)	Estimated Damage (if applicable)				
Insurance Payouts to Date	Insurance Payouts to Date				
Power of Attorney documentation (if applicable)	Power of Attorney documentation (if applicable)				
EFT and voided check (or statement from a bank verifying the account can accept electronic funds) if an electronic transfer is requested. If the applicant does not have an account which can accept electronic funds a paper check can be issued. In that case, an EFT and voided check is not necessary. (Note: This info must be sent directly to OSRAP by homeowner) Final Elevation Certificate	EFT and voided check (or statement from a bank verifying the account can accept electronic funds) if an electronic transfer is requested. If the applicant does not have an account which can accept electronic funds a paper check can be issued. In that case, an EFT and voided check is not necessary. (Note: This info must be sent directly to OSRAP by homeowner) Final Elevation Certificate				
N/A	Certificate of Occupancy				
Flood Insurance	Flood Insurance				
WIP Documentation (if applicable)	WIP Documentation (if applicable)				
Final Inspection Photos	Final Inspection Photos				
RH Covenant	RH Covenant				

4.6.6 How to Handle Successions

- OCD's succession policy is designed to mirror Road Home's policy and procedure process.
- Some eligible owner-occupants at the time of the storm died during the storm or have died since the storm.
- If the applicant(s) died during the storm or has died since the time of the storms, the person or person(s) placed in legal possession of the property are eligible for assistance from the Hazard Mitigation Grant Program in place of the eligible owner-occupant who has since died.
- In cases where husband and wife acquired ownership of property as community property prior to the storm and one of the spouses dies prior to, during or after storm and the intestate or testate estate by Judgment of Possession provides surviving spouse a usufruct over the children's interest, the surviving eligible owner occupant of the deceased maintaining full ownership of half interest in property with usufruct over the other half interest, is the only individual required to attend closing and execute closing documents. The children maintaining naked interest of other half interest in property are not required to attend closing or execute closing documents.
- In all other cases where the eligible owner occupant died during or has died since the time of the storm, the following documentation, depending on the situation, is required prior to closing to confirm ownership:

Was there a will?	Special Circumstances	Documents needed
Yes	Applicant elects Option 1	Judgment of Possession
No	Minor child (under age 18) inherited the property	Judgment of Possession AND Tutor's Judicial Authorization of Transaction
No	Person with limited mental capacity to execute legal documents inherits property	Judgment of Possession and Curator's Judicial Authorization of Transaction (unless a durable power of attorney was executed prior to incapacity).
No	Substantial debt other than mortgage on the property	Judgment of Possession
No	Adult competent heirs inherited the property.	Affidavit of Death, Domicile and Heir ship

 If an eligible owner occupant dies and leaves their damaged property to an LLC, the application is ineligible for assistance.

4.7 Duplication of Benefits (DOB) Review

- OCD DOB Specialist obtains property address from Target Group by sorting for "ICC Request."
- Two DOB reviews are conducted for the OCD-DRU HMGP:
 - The first review is conducted upon "ICC Request" generation
 - OCD DOB Specialist submits a spreadsheet requesting ICC data to GOHSEP once a week. OCD DOB Specialist keeps an updated record of all outgoing requests with date of submission.
 - Upon receipt, GOHSEP DOB Specialist performs a DOB check list for each ICC request
 - Upon completion, DOB reports are retrieved from GOHSEP to OCD DOB Specialist.
 DOB Specialist updates Target group for each ICC document received.
 - All properties are then entered into the DOB Tracker and updated in the Target Group with status of all relevant ICC documents received
 - The second review is in depth and done prior to payment processing
 - OCD DOB Specialists review payment packages at QA/QC and verifies the most current information located in eGrants for all potential DOB items for that mitigation measure.
 - 1. Elevation
 - Road Home Incentive Award
 - ❖ ICC funds
 - 2. Reconstruction
 - Road Home Incentive Award
 - ❖ ICC funds
 - Road Home Compensation Grant
 - FEMA IA for home repair
 - Hazard Insurance
 - Flood Insurance
 - Once verification of DOB listings is complete, payment is released for further processing
- OCD DOB Specialist is also responsible for identifying the following:
 - Properties listed in both Traditional HMGP and OCD HMGP programs (withdrawal letter required).
 - This is accomplished via queries using the latest lists submitted to OCD by GOHSEP.
 - OCD DOB Specialist sends out DOB withdrawal letter to homeowner.
 - Homeowner has 30 days from when the letter was sent to respond. If not, a
 follow-up call is necessary. When the response is received the applicant will
 have chosen to stay in this program or remain in the traditional program. The
 OCD DOB Specialist will update SharePoint Tracker. A copy is made for
 internal records, and a notification with copy of response is sent to GOHSEP
 and specified HMGP Region.

OCD DOB Specialist continues to monitor and update the Tracker daily, if necessary.

4.8 GLOBAL MATCH REVIEW

- Each MA is responsible for calculating global match contribution for each structure prior to submission to the Global Match/DOB Specialist.
- Upon receipt, the Global Match Specialist verifies the calculation for accuracy.
- If the calculation is correct, the Global Match Specialist transfers global match contribution to the Global Match Contribution Spreadsheet.
- If the calculation is incorrect, the Global Match Specialist returns the packet to the MA to recalculate.
 - Once the MA has recalculated the global match contribution, the packet is returned to the Specialist to transfer the global match contribution to the Global Match Contribution Spreadsheet.
- If the packet requires further processing for a homeowner payment, the packet is forwarded to RS/ARS for further processing.
- If the packet is for global match contribution only, the packet is forwarded to RS/ARS for future processing.

*Note: "Global Match Only" packages will be submitted and processed using the same requirements of a final payment. Processing of these files will commence upon GOHSEP and FEMA approval of the Covenant.

4.9 Quality Assurance/Quality Control Review Process

Purpose

The purpose of QA/QC file review is to perform an independent evaluation of applicant files that have been deemed ready for payment, potentially ineligible, or Global Match only by each of the designated regional teams. These evaluations are performed to ensure that applicant data is accurate and reliable prior to either applicant ineligibility notification or being sent to the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) for payment processing and capturing of Global Match.

<u>Scope</u>

The QA/QC Specialist will review 100% of payment package requests, ineligible files, and global match files processed by the designated regional staff for midpoint and final payments.

4.9.1 Payment Package and Global Match File Review Procedures

- Obtain payment package request from designated location in the Quality Control area.
- Verify applicant Road Home applicant identification number, name, and damaged address.
- Verify co-applicant *Road Home* name, if applicable
- Verify appropriate project type is indicated on the project type field on the payment cover sheet and the appropriate payment cover sheet was submitted.

- Verify the disaster number indicated is appropriately identified.
- Verify applicant identification number has been included on an approved application. If the
 applicant identification number has not been included on an approved application, verify the
 property has gone through FEMA clearance.
 - If the property has not gone through FEMA clearance and is not on an approved application, return to Team Leader (TL)/Assistant Team Leader (ATL) because the applicant is not eligible for HMGP funding due to construction initiation prior to FEMA clearance.
 - Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.
 - If the property has gone through FEMA clearance but is not on an approved application, verify analyst has identified the disaster number associated with the damaged address and noted either "1603 Substitution" or "1607 Substitution" in the disaster line on the payment cover sheet.
- For both Elevation and Reconstruction projects, verify applicant's program eligibility and documentation used to verify eligibility:
 - o Applicant was an eligible applicant of the *Road Home* (RH) Program.
 - Acceptable documentation: Final Disbursement Statement, File Balance Sheet,
 Disbursement Summary from official RH closing documents
 - Verification: Verify applicant's name matches the name and damaged address on the payment cover sheet

NOTE: If the applicant has not closed on a RH grant, the RH Approved Grant Screen is acceptable to verify eligibility

- b. Applicant selected *Road Home* Option 1- Keep your home.
 - Acceptable documentation: Road Home Approved Grant Screen
 - <u>Verification</u>: Verify applicant's ID, name, and damaged address match the ID, name, and damaged address on the payment cover sheet
- c. Applicant owned the home at the time of the event *Tax Match applications only*
 - Acceptable documentation: Road Home Approved Grant Screen.
 Note: Refer to RH eGrants 6_3 Status Bar Job Aid 10_11_07 Ready to Close section for clarification
 - <u>Verification</u>: Verify applicant's ID, name, and damaged address match the ID, name, and damaged address on the payment cover sheet. Verify Tax Match was received and date of receipt as indicated on the Approved Grant Screen in the Title Search Information section.
 - Abstract and Full Title Search applications
 - Acceptable documentation Road Home Title Search Results. Title Search results will be attached in eGrantsPlus (eGP) in the Option Selection Documents section of the Application Data report.

Note: Refer to RH Title Job Aid for examples of title search results

- <u>Verification</u>: Verify at least one person listed as an applicant in the HMGP file is listed
 as an owner on the title search results, except in the case of death of an owner. Verify
 property was acquired prior to the respective disaster
- d. Applicant still owns the home that was eligible for *Road Home* benefits.
 - <u>Acceptable documentation</u>: Self-Certification Affidavit for Ownership and Occupancy or project specific Voluntary Participation Agreement (VPA)
 - <u>Verification</u>: If Self-Certification Affidavit for Ownership and Occupancy is used verify all required applicant information has been completed and signed by the applicant, the form has two witness signatures, and the form is dated. If the VPA is completed, use the verification steps listed in Section 4.8.2B.
- e. The home is located in a floodplain based on the Advisory Base Flood Elevation or the mitigation measure is deemed cost beneficial in accordance with FEMA guidelines.
 - <u>ABFE Acceptable documentation</u>: FIRM Map, OCD Applicant Flood Database, Elevation Certificate
 - Verification: If FIRM Map is selected, a copy of the appropriate map panel must be in the package, the applicant's street name or vicinity must be clearly visible (a MapQuest search may accompany to identify location more accurately), and the map must show property is located in a designated ABFE zone. If OCD Applicant Flood Database is used verify applicant's name, Floodway designation, COBRA zone designation, and ABFE designation. If Elevation Certificate is used verify applicant's name, damaged address, and ABFE zone designation.
 - Other Acceptable Documentation: Benefit Cost Analysis (BCA) report
 - <u>Verification</u>: Verify BCA report shows that structure meets at least 1:1 ratio, at minimum for every dollar spent a dollar benefit is gained.
- f. Assignment of Rights Eligibility: Per Road Home Policy: "Assignment is the act of transferring financial benefits of the *Road Home* program from the original eligible applicant to a new applicant." FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma guidance specifies that the applicant must have been the owner of the damaged property at the time of the event; therefore, reconstruction projects will not be eligible.

Note: Assignment of Rights cases would only be eligible for reimbursement for elevation projects--not reconstruction except in the case of death or incapacity of the homeowner.

- Acceptable documentation: Road Home legal assignment authorization form entitled
 "Assignment of Road Home Grant Proceeds" or legal equivalent prepared by attorney
 and signed by both Original Owner and Assigned Owner. Assignment of rights
 executed in sales agreement or Act of Donation or Quit Claim Deed between the
 Original Owner and the Assigned Owner.
- <u>Verification</u>: Verify assignment agreement is attached in the attachment section in the Applicant Data report in eGP. Verify applicant is listed as the assignee and was the recipient of the RH funds.

4.9.2 Project Specific Review Procedures

Elevation Midpoint Payment Review Procedures (Elevation Midpoint is defined as the point at which the structure is elevated)

- Verify appropriate Midpoint Payment Request cover sheet (Exhibit 7) is attached to file and all fields are completed correctly as referenced in the HMGP Payment Package Review Desk Reference guide (Exhibit 10)
- Review attached required documentation. Ensure all corresponding documentation attached is tabbed in order documents are requested on the payment cover sheet. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - Appropriateness for project (Elevation VPA form)
 - Completed correctly as determined below:

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I am interested in receiving an HMGP Award."
	Answer has been selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet the latest elevation standards in my community before March 16th. I expect to start by, "the form is still "complete" if the person did not list a date in the blank.)
Section 3:	The applicable blanks have been complete and signature is present.

- Signed & Notarized OCD-DRU HMGP Covenant (Note: Covenant will not be recorded at the time of mid-point payment.)
 - The OCD-DRU HMGP Covenant should represent the appropriate applicant.
 - All pages of the OCD-DRU HMGP Covenant should be included.
 - The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until the FEMA-GOHSEP approved document is in place.

- Building Permit
 - Verify the permit reflects the correct damaged address
 - Permit is for the elevation project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - Ensure only costs associated with eligible mitigation activity are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes

Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.

- Total Project Cost calculations will be made using documentation the homeowner provides for eligible items. In cases where the homeowner has paid cash and is unable to locate the contractor who performed the work, a notarized affidavit from the homeowner stating the work performed and amount of money paid for said expenditure will be deemed acceptable by the Grantee, Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP). Where possible attempts will be made to issue midpoint payments using verified total project costs.
- Verify items included for reimbursement are dated after the start of the elevation project. Only eligible items directly resulting from the elevation project are reimbursable.
- Payout Summary and Payouts Received Thus Far:
 - 1. ICC
 - a. Verify documentation reflects the correct damaged address
 - b. Verify date of loss
 - c. Verify amount received was designated for elevation
 - d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 2. RH Elevation Incentive
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive (using the column to the far right from the Approve Grant Screen from eGrantsPlus, the column title will vary depending on applicant's application status at time)
- WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
 - The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - a. Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
 - The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:

- Insurance claims
- Inspection report completed after the event
- Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
- Dated Photographs
- Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices
 - d. Payroll records
- Construction Start Verification
 - If the property funded and/or cleared under the WIP waiver, verification of the
 construction start date is needed. The applicant should not have initiated work
 prior to the FEMA clearance date. This date may be verified using the
 Universe List in SharePoint. If applicant initiated work prior to the FEMA
 clearance start date, the applicant is not eligible to participate in the HMGP at
 this time.

Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.

- Midpoint Inspection Form, Exhibit 8, and Photos (Verifying 50% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Elevation Certificate
 - 1. Verify correct damaged address
 - Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify that date listed is after the date of construction commencing.
 - 4. Verify that certification is present.

Note: Elevation Certificate should be either "under construction" or "Final" for Midpoint.

- The following documentation may be included but is not required for midpoint payment issuance and will be considered as supporting documentation.
 - Approved Building Plans
 - Proof of Flood Insurance

Reconstruction Midpoint Payment Review Procedures (Reconstruction Midpoint is defined as the completion of the framing for the house.)

- Verify appropriate Midpoint Payment Request cover sheet (Exhibit 7) is attached to file and all fields are completed correctly as referenced in the HMGP Payment Package Review Desk Reference guide (Exhibit 10).
- Verify eligibility per Square Footage Comparison Rule. Per FEMA guidance, the
 reconstructed structure's square footage can be no more than 10% larger than the square
 footage of the original structure.
 - Verify documentation used to determine original square footage reflects the correct damaged address and only square footage value.
 - Examples of acceptable documentation: appraisals reflecting value prestorm, building permits reflecting original square footage, RH Technical Compensation Allowance Determination (CAD) report, and RH ordered appraisal. Additional documentation will be reviewed on a case-by-case basis.
 - Verify documentation used to determine new square footage reflects the correct damaged address or applicant name and only square footage value.
 - -Examples of acceptable documentation: appraisals reflecting value post-construction value, building plans of proposed construction, and building permits reflecting new square footage. Additional documentation will be reviewed on a case-by-case basis.
 - Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original structure's square footage, the applicant is not eligible to receive funding from the program.
- <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is in correct tabbed order. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 1. Appropriateness for project (Reconstruction)
 - 2. Completed correctly as determined below
 - a. Appropriate date is entered
 - b. Authorized Agent line is completed by an OCD representative
 - c. Property Owner line is completed by the applicant, co-applicant, or both
 - d. Property address line reflects the damaged address
 - e. Property Owner(s) has/have signed and dated the form
 - f. Sub-Grantee's Authorized Agent (OCD representative) has signed and dated the form
 - Signed & Notarized OCD-DRU HMGP Covenant (Note: Covenant will not be recorded at the time of mid-point payment.)
 - The OCD-DRU HMGP Covenant should represent the appropriate applicant.

- All pages of the OCD-DRU HMGP Covenant should be included.
- The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until the FEMA-GOHSEP approved document is in place.

- Building Permit and Demolition Permit
 - Verify both permits reflect the correct damaged address.
 - Permits should be for the reconstruction and demolition project.
 Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - Ensure only costs associated with eligible mitigation activities are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - Total Project Cost calculations will be made using documentation the homeowner provides for eligible items. In cases where the homeowner has paid cash and is unable to locate the contractor who performed the work, a notarized affidavit from the homeowner stating the work performed and amount of money paid for said expenditure will be deemed acceptable by the Grantee, Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP). Where possible attempts will be made to issue midpoint payments using verified total project costs.
 - Verify items included for reimbursement are dated after the start of the reconstruction project. Only items directly resulting from the reconstruction project are reimbursable.
- Payout Summary and Payouts Received Thus Far
 - 1. RH Compensation (Compensation Grant and Additional Compensation Grant total, if applicable)
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - 2. RH Elevation Incentive
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - c. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 3. Hazard Insurance
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant has received to date

c. If hazard payout information is provided, verify the date of loss is for the appropriate hurricane.

4. Flood Insurance

- a. Verify documentation reflects the correct damaged address
- b. Verify amount applicant has received to date
- c. If flood payout information is provided, verify the date of loss is for the appropriate hurricane.

5. FEMA IA (For Home Repair)

- a. Verify documentation reflects the correct damaged address
- b. Verify amount designated for home repair the applicant has received to date
- c. If FEMA Individual Assistance information is provided, verify the date of loss is for the appropriate hurricane.

6. ICC

- a. Verify documentation reflects the correct damaged address
- b. Verify date of loss
- c. Verify amount applicant has received to date
- d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.

WIP Data Collection Form and documentation

- For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
- The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
- The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - a. Insurance claims
 - b. Inspection report completed after the event
 - c. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program

- d. Dated Photographs
- e. Flood data verifying inundation
- The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices

Construction Start Verification

o If the property was not funded and/or cleared as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time.

Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.

- Midpoint Inspection Form (Exhibit 8) and Photos (Verifying the 50% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Elevation Certificate
 - 1. Verify correct damaged address
 - Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - 3. Verify that date listed is after the date of construction commencing.
 - 4. Verify that certification seal is present.

Note: Elevation Certificate should be either "Under Construction" or "Final" for Midpoint.

- The following documentation may be included but is not required for midpoint payment issuance and will be considered as supporting documentation.
 - Approved Building Plans
 - Certificate of Occupancy
 - Proof of Flood Insurance

Elevation Final Payment Review Procedures (Elevation Final is defined as the completion of elevation activity resulting in a compliant structure.)

 <u>Verify appropriate Final Payment Request cover sheet</u> is attached to file and all fields are completed correctly.

- Review attached required documentation. Ensure all corresponding documentation attached is tabbed in order documents are requested on the payment cover sheet. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - Appropriateness for project (Elevation VPA form)
 - Completed correctly as determined below:

<u>VPA</u>	<u>Comments</u>
RH Applicant ID #	10 digit ID # is filled in. (Note: All RH Applicant ID #s begin with 06HH.)
Section 1:	Homeowner checked "I am interested in receiving an HMGP Award."
	Answer has been selected for both Questions 1 and 2. (Note on Question 1: If an applicant selects, "I do not plan to start elevation on my home to meet the latest elevation standards in my community before March 16th. I expect to start by, "the form is still "complete" if the person did not list a date in the blank.)
Section 3:	The applicable blanks have been complete and signature is present.

- Signed & Notarized OCD-DRU HMGP Covenant (Note: Covenant will not be recorded at the time of mid-point payment.)
 - The OCD-DRU HMGP Covenant should represent the appropriate applicant.
 - All pages of the OCD-DRU HMGP Covenant should be included.
 - The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until the FEMA-GOHSEP approved document is in place.

- Building Permit
 - Verify the permit reflects the correct damaged address
 - Permit is for the elevation project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents
 - Ensure only costs associated with eligible mitigation activity are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
 - Total Project Cost calculations will be based on Verified TPC (VTPC). The
 documentation used in the calculation is of VTPC includes, but is not limited to,
 paid invoices, cancelled checks, and/or receipts documenting work.
 - Verify items included for reimbursement are dated after the start of the elevation project. Only eligible items directly resulting from the elevation project are reimbursable.

- Payout Summary and Payouts Received Thus Far:
 - 1. ICC
 - a. Verify documentation reflects the correct damaged address
 - b. Verify date of loss
 - c. Verify amount received was designated for elevation
 - d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
 - 2. RH Elevation Incentive
 - Verify documentation reflects the correct damaged address
 - Verify amount applicant is currently eligible to receive (using the column to the far right from the Approve Grant Screen from eGrantsPlus, the column title will vary depending on applicant's application status at time)
 - If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.
- WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
 - The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - a. Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
 - The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - a. Insurance claims
 - b. Inspection report completed after the event
 - c. Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - d. Dated Photographs
 - e. Flood data verifying inundation
 - The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices

- c. Cancelled checks with accompanying invoices
- d. Payroll records
- Construction Start Verification
 - If the property was not approved as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time.

Note: Structures that commenced work prior to 3/16/2008 are eligible for clearance under the WIP waiver. However, FEMA must "clear" property prior to payment processing.

- Final Inspection Form (Exhibit 8) and Photos (Verify 100% completion requirements)
 - 1. Verify inspection form is in front of inspection photos
 - 2. Verify inspection form is completed and signed
 - 3. Verify midpoint photos of the residence
- Final Elevation Certificate
 - Verify correct damaged address
 - Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions guidance.
 - Verify date listed is after the date of construction commencing.
 - Verify that certification is present.

Note: Elevation Certificate should be checked as "Final".

- Proof of Flood Insurance
 - Verify policy is for flood coverage.
 - Verify policy is for damaged address.
 - Verify policy is currently in effect.

Reconstruction Final Payment Review Procedures (Reconstruction Final is defined as the completion of elevation activity resulting in a compliant structure.)

- <u>Verify appropriate Final Payment Request cover sheet (Exhibit 7)</u> is attached to file and all fields are completed correctly.
- Verify eligibility per Square Footage Comparison Rule. Per FEMA guidance, the
 reconstructed structure's square footage can be no more than 10% larger than the square
 footage of the original structure.
 - Verify documentation used to determine original square footage reflects the correct damaged address and only square footage value.
 - --Examples of acceptable documentation: appraisals reflecting value prestorm, building permits reflecting original square footage, RH Technical

Compensation Allowance Determination (CAD) report, and RH ordered appraisal. Additional documentation will be reviewed on a case-by-case basis.

- Verify documentation used to determine new square footage reflects the correct damaged address or applicant name and only square footage value.
 - ---Examples of acceptable documentation: appraisals reflecting value post-construction value, building plans of proposed construction, and building permits reflecting new square footage. Additional documentation will be reviewed on a case-by-case basis.
- Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original structure's square footage, the applicant is not eligible to receive funding from the program.
- <u>Review attached required documentation.</u> Ensure all corresponding documentation attached is in correct tabbed order. Attached supporting documentation should appear in the following order:
 - Signed Voluntary Participation Agreement (VPA)
 - 7. Appropriateness for project (Reconstruction)
 - 8. Completed correctly as determined below
 - a. Appropriate date is entered
 - b. Authorized Agent line is completed by an OCD representative
 - c. Property Owner line is completed by the applicant, co-applicant, or both
 - d. Property address line reflects the damaged address
 - e. Property Owner(s) has/have signed and dated the form
 - f. Sub-Grantee's Authorized Agent (OCD representative) has signed and dated the form
 - Signed & Notarized OCD-DRU HMGP Covenant (Note: Covenant will not be recorded at the time of mid-point payment.)
 - The OCD-DRU HMGP Covenant should represent the appropriate applicant.
 - All pages of the OCD-DRU HMGP Covenant should be included.
 - The parish and date on the first page of the HMGP Covenant should be completed. On the second page both sections should be fully completed and notarized.

Note: As of Thursday, March 5, 2009 payment packages may be submitted without Covenants until the FEMA-GOHSEP approved document is in place.

- Building Permit and Demo Permit
 - Verify both permits reflect the correct damaged address.
 - Permits should be for the reconstruction and demolition project. Emergency permits will be accepted.
- Total Project Cost (TPC) Summary and Supporting Documents

- Ensure only costs associated with eligible mitigation activities are included for reimbursement. Refer to FEMA HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma Section 2.1 Eligible Mitigation Reconstruction Activities or Costs or the GOHSEP Proposed Cost Breakdown information for guidance.
- Total Project Cost calculations will be based on Verified TPC (VTPC). The
 documentation used in the calculation is of VTPC includes, but is not limited to,
 paid invoices, cancelled checks, and/or receipts documenting work.
- Verify items included for reimbursement are dated after the start of the reconstruction project. Only items directly resulting from the reconstruction project are reimbursable.
- Payout Summary and Payouts Received Thus Far
 - RH Compensation (Compensation Grant and Additional Compensation Grant total, if applicable)
 - a. Verify documentation reflects the correct damaged address
 - b. Verify amount applicant is currently eligible to receive
 - RH Elevation Incentive
 - c. Verify documentation reflects the correct damaged address
 - d. Verify amount applicant is currently eligible to receive
 - e. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.

9. Hazard Insurance

- a. Verify documentation reflects the correct damaged address
- b. Verify amount applicant has received to date
- c. If hazard payout information is provided, verify the date of loss is for the appropriate hurricane.

10. Flood Insurance

- a. Verify documentation reflects the correct damaged address
- b. Verify amount applicant has received to date
- c. If flood payout information is provided, verify the date of loss is for the appropriate hurricane.

11. FEMA IA (For Home Repair)

- a. Verify documentation reflects the correct damaged address
- b. Verify amount designated for home repair the applicant has received to date
- c. If FEMA Individual Assistance information is provided, verify the date of loss is for the appropriate hurricane.

12. ICC

- a. Verify documentation reflects the correct damaged address
- b. Verify date of loss
- c. Verify amount applicant has received to date
- d. If maximum grant amount of \$30,000 was not received, verify explanation as to why the full grant amount was not received. This should be documented on the Payout Summary.

- WIP Data Collection Form and documentation
 - For all properties funded and/or cleared under the WIP waiver, documentation to verify work was actually initiated prior to March 16, 2008 is required to accompany the WIP Data Collection Form. Use the Universe List in SharePoint to verify if the property was approved as a WIP.
 - The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:
 - a. Invoices showing the actual dates of physical work of the mitigation activities.
 - b. Signed statement from a contractor certifying the date the mitigation activity was initiated on-site.
 - c. Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity.
 - d. An Inspection report by the local building official dated no later than March 16, 2008 (this will prove the work was initiated prior to March 16, 2008).
 - The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:
 - Insurance claims
 - Inspection report completed after the event
 - Proof of assistance through the FEMA Individual Assistance or Public Assistance Program
 - Dated Photographs
 - Flood data verifying inundation
 - The following are examples of documentation that confirm expenditures:
 - a. Dated receipts
 - b. Paid invoices
 - c. Cancelled checks with accompanying invoices
- Construction Start Verification
 - If the property was not funded and/or cleared as a WIP, verification of the construction start date is needed. The applicant should not have initiated work prior to the FEMA clearance date. This date may be verified using the Universe List in SharePoint. If applicant initiated work prior to the FEMA clearance start date, the applicant is not eligible to participate in the HMGP at this time.
- Final Inspection Form (Exhibit 8) and Photos
 - Verify inspection form is in front of inspection photos
 - Verify inspection form is completed and signed
 - Verify midpoint photos of the residence

- Final Elevation Certificate
 - Verify correct damaged address
 - Verify home is raised to BFE, ABFE, or whichever is higher using the FEMA National Flood Insurance Program Elevation Certificate and Instructions quidance.
 - Verify that date listed is after the date of construction commencing.
 - Verify that certification seal is present.

Note: Elevation Certificate should be "Final" for final payment.

- Approved Building Plans
 - Verify building plans are for residence.
 - Verify building plans are dated post-disaster.
 - Verify plans are stamped with engineers stamp.
 - Verify building plans have been approved.
- Certificate of Occupancy
 - Verify damaged address on certificate.
 - Verify owner of structure, if listed.
 - Verify permit number on certificate matches the issued building permit number.
 - Verify certificate has been signed by the Floodplain Administrator and dated.
- Proof of Flood Insurance
 - Verify policy is for flood coverage.
 - Verify policy is for damaged address.
 - Verify policy is currently in effect.

4.9.3 QA/QC Review of Ineligible Project Folders

Currently common reasons for ineligible determinations are as follows:

1. Not an eligible mitigation activity.

The following are ineligible mitigation activities per FEMA *Reconstruction Grant Pilot for Hurricanes Katrina, Rita, Wilma* guidance:

- Retroactive property acquisitions for the purpose of open space
- New flood protection projects
- Vegetation management and soil stabilization
- New storm water management facilities such as drainage projects and culverts
- New coastal property protection measures including seawalls, beach nourishment, and revetments; and
- Purchase and/or installation of stand-alone generators
- For reconstruction projects, the newly constructed home's square footage exceeded 10% of the square footage of the original home.
- The applicant initiated construction prior to receiving FEMA clearance.

Note: Structures that commenced work prior to or on 3/16/2008 are eligible for clearance under WIP waiver. However, FEMA must "clear" file prior to payment processing.

- The applicant was not an eligible Road Home applicant or has since sold their home.
- Property owners who purchased the property following the disaster declaration with the exception of Assignments of Rights applicants from the *Road Home* program.
- 2. Not an eligible mitigation activity review procedures
 - Review documentation used to determine activity performed was an ineligible activity.
 - Verify documentation is for the appropriate damaged address
 - If all documentation is sufficient to confirm ineligibility, the applicant's ineligibility is confirmed and the project folder is returned to TL/ATL for homeowner notification.
 - If all documentation is not sufficient to determine the applicant's ineligibility, project folder is returned to TL/ATL for corrective action.
- 3. Construction exceeded allowable square footage
 - Verify documentation used to determine home's original square footage.
 - a. Verify damaged address is reflected on documentation
 - b. Verify effective date of the value ensuring the documentation reflects the predisaster value
 - c. Verify value used is reflective of the original area only
 - d. Compare the documentation to other available sources for accuracy of value
 - e. If acceptable, confirm original square footage and if not acceptable, return project folder for corrective action
 - Verify documentation used to determine home's new square footage.
 - a. Verify damaged address or at minimum, the applicant's name, on documentation
 - b. Verify effective date of the value ensuring the documentation reflects postconstruction value or proposed post-construction value
 - c. Verify value used is reflective of the new area only
 - d. Compare the documentation to other available sources if available for accuracy
 - e. If acceptable, confirm new square footage and if not acceptable, return project folder for corrective action
 - Calculate the percentage difference between the two values. Per FEMA guidance, if the new square footage is more than 10% larger than that of the original structure, the applicant is not eligible to receive funding from the program.
 - If all documentation is sufficient and the difference between the two values is greater than 10%, ineligibility is confirmed and project folder is returned to Mitigation analyst for homeowner notification.
- 4. Ownership of damaged residence
 - a. Verify documentation used to determine applicant's ownership status
 - b. Verify home purchase date
 - c. Verify home purchaser is the applicant or co-applicant
 - d. If confirmed as ineligible due to ownership, project folder is returned to Appeals Analyst for homeowner notification.

- e. If documentation is insufficient to determine ownership status, project folder is returned to Appeals Analyst for corrective action.
- e. Other specific ineligible mitigation activities and documentation will be examined on a case by case basis.

4.9.4 QA/QC Appeals Review Procedures

- Examples of the type of Hazard Mitigation Appeals that will be reviewed by Appeals Specialists include, but are not limited to:
 - Square Footage of Home
 - Ownership of Home
 - Duplication of Benefits
 - ABFE/BFE (property not elevate to proper height)
 - o Elevation Status/Height of Elevation
 - o Road Home Option Selection
 - o Previous Road Home Funding
 - Lack of Supporting Documentation
- The QA/QC review will consist of reviewing the relevant appeals data and the Appeals Determination Report to validate the appeals determination.
- Evaluation will consist of verification of the following
 - The Applicant/ Co-Applicant Road Home information (name, identification number, and damaged address)
 - FEMA Clearance status
 - o The applicant's program eligibility and the documentation used to verify eligibility
 - o Total Project Cost/ Duplication of Benefits
 - o Petition information and supporting documentation
- The appellant's file will be reviewed within five (5) business days of receipt from the appeals department.
- If there are questions or concerns regarding the appeal, the file will be returned to the designated Appeals Specialist for modifications, corrective action suggestions, and/or questions.
- If the QA/QC Specialist is in agreement with the Appeal Specialists recommendation, the report is forwarded to GOHSEP for review and concurrence.

4.9.5 QA/QC Ineligibility Determination Letter Review

- Obtain Ineligibility Determination letter from designated area located in Quality Control area.
- Verify applicant Road Home applicant identification number and name.

- Verify letter date has not exceeded the review date. At the time of review if the letter date has already passed, the letter should be returned to the Analyst for corrections. Letter review should continue for additional comments/corrections needed.
- Verify applicant's current mailing address using the Universe list in SharePoint. If the address
 in SharePoint is different from the address on the letter, the letter should be returned to the
 Analyst for verification of current mailing address through homeowner contact. Letter review
 should continue for additional comments/corrections needed.
- Verify letter is addressed to the appropriate applicant. The name on the heading should match
 the name in the greeting. If names are different, letter should be returned to Analyst for
 corrections. Letter review should continue for additional comments/corrections needed.
- In the first paragraph of the letter, verify the applicant's property address using the Universe List in SharePoint. If the property address is different, cross reference the address with the damaged address listed in the applicant data report in eGP. In the event the damaged address is incorrect, the letter should be returned to the Analyst for corrections. Letter review should continue for additional comment/corrections needed.
- In the first paragraph of the letter, verify the appropriate mitigation activity has been selected. If the mitigation activity is not correct, the letter should be returned to the Analyst for corrections. Letter review should continue for additional comment/corrections needed.
- Review the supporting ineligibility determination documentation.
 - o If the documentation verifies the applicant's ineligibility, verify the appropriate ineligibility determination standard response was selected as paragraph two of the letter.
 - o If the documentation does not confirm the applicant's ineligibility, the letter should be returned to the analyst for further review.
- If ineligibility is confirmed, on page two of the letter, verify the appropriate Mitigation Analyst
 has been selected and the contact information (name, telephone number, and email address)
 is correct.
- If all elements of the letter are verified as correct, forward the letter with supporting documentation to management.
- If all elements of the letter cannot be verified as correct, return the letter the Analyst for corrections.

4.9.6 Reporting QA/QC Metrics to Management

QAQC Review Reporting Procedures

 Manager's Report- Report is submitted on a weekly reporting schedule. Data reflects information from Tuesday to Monday. Information is reported every Tuesday by COB. QA/QC is responsible for submitting the following data in the Manager's report:

	Reg 1	Reg 2	Reg 3	Total
# Folders submitted to QC	#	#	#	Total
Mid-Point Payment	#	#	#	Total
Final Payment	#	#	#	Total
No Award (Global Match)	#	#	#	Total
Ineligible	#	#	#	Total
# Folders Approved by QC	#	#	#	Total
Mid-Point Payment	#	#	#	Total
Final Payment	#	#	#	Total
No Award (Global Match)	#	#	#	Total
Ineligible	#	#	#	Total
# Appeals Ineligible Letters				
submitted to QC	#	#	#	Total
# Approved by QC	#	#	#	Total
# Mid-Point Payment Packages				
submitted to Management	#	#	#	Total

- Common Errors Log Tuesday through Monday of the respective Manager's Report period.
 This data consist of common errors cited during reviews for each manager's report period.
 The information is included in the Manager's Report as well as disseminated to the Team
 Leaders, Assistant Team Leads on a weekly basis. The intent of this data is to aid the
 regional staff in training team members on proper review protocol.
- Payment Package Submission Log- Excel workbook submitted to all Team Leaders, Assistant Team Leaders, and Assistant Regional Supervisor every Tuesday. The workbook is a log of all payment packages submitted from Tuesday to Monday to the Assistant Regional and Regional Supervisors. Log reflects
 - 1. Applicant ID
 - 2. Applicant Name
 - 3. Mitigation Analyst
 - 4. Mitigation Analyst's Assigned Region
 - 5. Applicant's Mitigation Activity
 - 6. Date Submitted to Management
 - 7. Submission Type (Initial or Resubmission from Management)
 - 8. Total Project Cost Value
 - 9. Total Duplication of Benefit Value
 - 10. Potential HMGP Award

- 11. HMGP Award with current cap
- 12. HMGP Mid-Point Award
- 13. HMGP Final Award
- 14. Federal/State Share
- 15. Global Match

4.9.7 Recording QA/QC Review Results

- All QA/QC payment, ineligible, and global match reviews are recorded in the QA/QC Checklist-Project Folder Review list in SharePoint. Appendix 6.0
- All QA/QC ineligible determination letters are recorded in the QA/QC Ineligibility Determination Letter Review List in SharePoint. Appendix 6.1

4.10 Property Inspection Review Process

- The status of structures will fall into one of the following categories: Not Started, Work in Progress (WIP), and Completed.
- There will be at least one inspection of every structure funded by the OCD-DRU HMGP program.
- Structures may undergo multiple inspections by OCD-DRU HMGP, but typically there will only be two: Midpoint and Final.
- Inspections will be recorded (including photographs) in the standardized field inspection form approved by GOHSEP. (See Exhibit 8: Request for Inspection Form)

Requirements to be met before inspection will be performed:

- For the purpose of elevation, the midpoint is defined as the point at which the structure is elevated.
- For the purpose of reconstruction, the midpoint is defined as the point at which the framing for the structure is complete
- For the purpose of both elevation and reconstruction, the final inspection will occurrence the mitigation activity is complete.

How to Request an Inspection:

Mitigation Analysts (MA) will send an inspection request, via SharePoint Tasks, once the prescribed criteria has been met by the homeowner for each inspection type and attach a copy of the inspection form with the MA and homeowners information filled in. Note: All requests must be made by 3pm to be considered for an inspection for the following business day.

 The Inspection form can be found in the SharePoint Shared Documents Library (See Exhibit 8: Request for Inspection Form)

The SharePoint Task should have at least the following fields filled out:

- Outbound Tracked Event: Type of inspection : Midpoint or Final
- Priority: Normal or High (Note: High Priority indication must be approved by Team Lead or Assistant Team Lead)
- Parish
- Homeowner name and Phone number
- Damaged Address, City and Zip code

Assign Task to Inspection Team Monitor or his designee

The IT Reports Specialist (ITRS) will pull the most efficient geographical route for each inspector and email the map to the inspector for the following days work no later than 5pm Monday-Wednesday. **Note: Inspections occur Tuesday-Thursday of every week**.

Inspection Procedures:

- Log Appointments in SharePoint Task note section:
 - Time
 - Date
 - Name (could be different from applicant, i.e., family member could be helping an elderly parent)
- Proper Attire should be worn at all times:
 - Slacks (NO blue jeans)
 - Collared shirt
 - Appropriate footwear (NO Crocs, Flip Flops etc...)
- Inspector Equipment (verify all equipment is operating properly before leaving for first inspection)
 - Hard hat, safety glasses, and leather palm gloves
 - Completed Inspection Form
 - Black Berry or OCD supplied cell phone (with charger)
 - Digital camera (with USB cable and batteries)
 - Flashlight
 - Tape measure (digital/laser measuring device)
 - All chargers or additional batteries for electronic equipment
- Inspection Form:
 - Hard copy of applicant data inspection form (for every inspection slated)
- Verify Start Date of Construction Project
- GPS Coordinates(to .00000 and a maximum of 60 feet from home)
 - Latitude
 - Longitude
- Photographs
 - Make sure camera is set to lowest resolution
 - Minimum 4 photos of each home
 - Applicant Id placard
 - Front of the house
 - Right Side of the house (need to see the 90 degree angle where the front of the house meets the side of the house)
 - Left Side of the house (need to see the 90 degree angle where the front of the house meets the side of the house)
 - Photos should be taken from ground up

- One photo of Applicant Data Sheet (this photo is to be the first photo of in the series for each and every property)
- Two photos of elevation
 - 1. Front right corner
 - 2. Front left corner
- One photo of crawl space (when obtainable)
- Before leaving Applicant's home make sure all photos can be viewed
 - 1. Download to computer
 - 2. Open and view
 - 3. Upload to applicant folder
 - 4. Folder should be saved as Name_Applicant RH ID #
- Confirm Inspection Type
 - Midpoint
 - Final
- Verify Project Status (must agree with "project complete field") Inspector to verify if project status identified by the MA is accurate based on visual inspection of the property. Inspector denotes correct project status and makes corresponding observation note.
 - "NS" Not Started
 - "WIP" Work in Progress
 - "C" Complete
- Verify Mitigation Measure
 - Elevation
 - Reconstruction
- Note any structural issues that would adversely affect the structure's ability to be compliant for their designated mitigation measure (Elevation/Pilot Reconstruction) Inspector to include photo and brief description of issue.
- Photo of Issue Marked

In the event there is an adverse observation or concern a photo should be taken and a detailed description provided by the Inspection Monitor or his designee.

- Safety
 - Always wear hard hat, safety glasses and leather palm gloves when entering crawl spaces and in any construction zone
 - Inspect grounds around home for trip hazards and sharp objects
 - Be mindful of environment (e.g. dogs, snakes etc.)
 - In order to be aware of your location should an emergency arise, the Inspector should update and upload log notes for OCD-DRU HM staff after each and every inspection
 - Change "call status" field in SharePoint Task record to "completed"
 - Return signed hard copy of Inspection Form to the MA for placement in homeowner's project file.

The MA will review and add the completed Inspection form to the homeowner's project folder. (Note: The QA/QC process for Inspections is a part of the entire file review process.)

4.10.1 Inspection Criteria by Type

- After the inspection is conducted, the Inspection Team Monitor (ITM) will forward the report and photos to the MA via email.
- The MA will review the inspection form for completeness and identify if Inspector observations warrant further contact with the homeowner regarding adverse observations noted during the Inspection prior to payment processing.
- If applicable, the MA will contact the homeowner with any adverse observations noted during the Inspection that may affect further approval
- The MA will document homeowner contact and input copies of the documents (photos and completed inspection form) into the project folder and payment package.
- It is the MAs responsibility to notify the homeowner of known issues related to compliance prior to payment processing. If homeowner is still interested in program, the need for compliance (i.e. inadequate venting, etc) must be listed in the conditional payment letter sent to homeowners following the HMM's approval of payment package.

4.11 Appeals Review Process

Purpose

To independently identify and re-examine an applicant's file and/or case to determine if ineligibility is justified per program policy.

<u>Scope</u>

This procedure applies to the quality and accurateness of the reassessment of applicants who are appealing their Hazard Mitigation Grant Program decision.

Identifying an Appeal:

Responsible Staff: Regional Supervisor, Assistant Regional Supervisor, Team Leads, Assistant Team Leads, Mitigation Analysts, and Appeals Specialists.

- Applicants with issues related to the factors used determine program eligibility and/or award calculation are identified by the Mitigation Analyst.
- If the Mitigation Analyst finds that an applicant is ineligible, he/she will forward the applicant's file to his/her ATL/TL for concurrence.
- If the ATL/TL concurs, the file will be forwarded to QA/QC for review.
- If QA/QC concurs, the file is returned and the Mitigation Analyst will generate the appropriate "ineligibility letter." The "ineligibility letter" will be mailed the week following the applicant's determination.
 - The "ineligibility letters" will outline the reason for the applicant's denial, detail the Appeals process and afford the applicant the opportunity to appeal in writing (See Appendix 4.9B: Appeals - Ineligible Letter).
- In instances where the applicant is appealing program eligibility (Hazard Mitigation Grant Program eligibility or Road Home Program eligibility) a file and/or case may not have been compiled prior to appeal acceptance. This situation would cause the file and/or case folder to be created by the Appeals Specialist upon receipt of the appellant's letter.

Communicating and Receiving an Appeal:

Responsible Staff: Mitigation Analysts, Call Intake Specialists, Appeals Specialists, Reports Specialist, Regional Staff Supervisor, Assistant Regional Supervisor and Special Staff Supervisor.

- The ineligibility letter will be mailed by the Mitigation Analyst(s) following QA/QC's concurrence
 of file ineligibility.
- Correspondence must be received from the applicant within sixty days of the date that the ineligibility letter is mailed. *Note: This response will be forwarded to the OCD-HMGP P.O. Box to the attention of Appeals (Attn: Appeals Division).*
- If supporting documentation is received from the applicant within the acceptable time frame (sixty days), a letter will be generated notifying the applicant that their appeal has been accepted. *Note: An outline of the Appeals procedure will be included.*
- All communication with appealing applicants, including mail, fax, e-mail, and telephone will be documented in the correspondence tracker (SharePoint tool) by the Appeals Specialist.
- All letters mailed to appealing applicants will be attached to the applicant's file and an Appeals Research form will be attached to confirm that the file was reviewed by Appeals Team. The form will also function to differentiate the appeals documents from the normal file documentation.
- Appeals and supporting documentation submitted to OCD-DRU HM will be date stamped upon receipt and logged by the Call Intake Specialist in the correspondence tracker (SharePoint tool).
- The Call Intake Specialist will then submit the appeal to the Appeals Team for review.
- Any additional documentation submitted after intake will be delivered directly to the Appeals Specialist assigned to the case, as shown by the Appeals Research Checklist (SharePoint tool). The Analyst will ensure the documents are time/date stamped and attached to the applicant's file.
- A daily report should be extracted from the Correspondence Tracker (SharePoint tool) by the Reports Specialist. This information will be submitted to the ARS by the close of business (COB) of business each day (this information will be saved and compiled for tracking purposes, so that Appeals and HMPG can in fact substantiate that mail was received from the applicant).
- ARS compiles and reports weekly totals to RS *Note: This information is included in the Manager's report.*

Processing an Appeal:

Responsible Staff: Call Intake Specialists, Appeals Specialists (AS1 and AS2), Regional Staff Supervisor, and the Assistant Hazard Mitigation Manager.)

- Once the Appeals Specialists (AS1 and/or AS2) receives the Appeal from the Call Intake Specialist, the AS1 or AS2 will log the file into Appeals Research Checklist (SharePoint tool).
- The AS1 or AS2 will review and compare all information related to the appeals case within sixty days from the receipt of the applicant's supporting documentation.
- The AS1 or AS2 will begin to research the applicant's file by reviewing the Mitigation Analysts
 findings, the internal documentation that led to the structure's ineligibility and the additional
 supporting documentation that has been submitted by the applicant.
- The AS1 or AS2 will not only focus on the subject of the appeal but the entire file will be reviewed by the AS1 or AS2 for any possible subsequent erroneous findings.

- The AS1 or AS2 will contact the applicant within fifteen days of receiving the applicant's appeal feedback to clarify appeal issues and to collect additional information and/or documentation.
- Examples of the types of Hazard Mitigation Appeals that will be reviewed by Appeals Specialists include, but are not limited to the following:
 - Square Footage of Home
 - Ownership of Home
 - Duplication of Benefits
 - Elevation Status/Height of Elevation
 - o Road Home Option Selection
 - o Previous Road Home Funding
 - Traditional HMGP Participation
 - Lack of Supporting Documentation
- AS1 or AS2s will check off information and policies reviewed and mark any areas of concern or discrepancies found when comparing the applicant's file to their award calculations.
- AS1or AS2s will complete an Appeal Report upon review of all information/policies related to
 the appeal case. The information included will be based on the ability of Appeals Specialists to
 accurately and objectively assess the overall situation using a timeline approach. This report
 will include copies of all applicable documentation that supports the decision made by the
 Appeal Specialist.
- The report and /or file will also be reviewed by a QA/QC Analyst for concurrence. All subjective
 assessments will be discussed with the ARS and possibly the Regional Supervisor to agree on
 what will be documented and/or recommended by the Appeals Office.
- The QA/QC Analyst will evaluate the file and verify:
 - The applicant/ Co-Applicant Road Home information (name, identification number, and address)
 - o FEMA Clearance
 - o The applicant's program eligibility and the documentation used to verify eligibility
 - Total Project Cost/ Duplication of Benefits
 - Petition Information and Documentation
- The QA/QC Analyst will return the appellant's file within five business days.
- If the QA/QC Analyst has unanswered questions or concerns regarding the appeal the file will be returned to the Appeals Specialist for modifications and/or questions.
- If the QA/QC Analyst is in agreement with the Appeal Specialists recommendation, the file and/or report will be forwarded to ARS/RS for review and concurrence.
- Once the Appeal File and/or Report has been reviewed by the ARS/RS (batch analysis-Pass/Fail basis), the Appeals Specialist is responsible for placing the report in the mail to the applicant's current mailing address.
- The Appeals report will detail the applicant's reason for acceptance or denial, allow the
 applicant the opportunity to submit feedback and explain the appellant's procedural restrictions
 (Note: Applicants will be allowed ONLY TWO opportunities to exercise the Appeals
 process.)
- Appeals feedback must be received within thirty days from the mailing date of the Appeals
 report. All requests to re-evaluate the decision presented in an Appeal Report must be
 presented by the applicant in writing. Telephone, e-mail, and fax requests are only to obtain
 clarification.

Once the appeal has been closed, the physical file will be stored in the HMGP filing cabinet.
 The electronic file will be marked closed in the SharePoint tool.

Feedback Submission or Re-submission of an Appeal:

Responsible Staff: Call Intake Specialists, Appeals Specialists (AS1 and AS2), Assistant Regional Supervisor, and the Regional Supervisor.

- If supporting documentation is submitted to OCD-DRU HM subsequent to the Appeals decision, it will be date stamped upon receipt and logged by the Correspondence Tracker prior to submission to the Appeals section.
- Appeals specialists will review information mailed to the program as a result of the Appeals Report and to identify whether the deadline to submit information has been met.
- If the information is a duplication of previously submitted documentation or if it does not meet the appropriate feedback deadline, then a standardized letter will be mailed out by the Appeals Specialist (AS1 and/or AS2) detailing what is considered "unacceptable documentation/acceptable feedback".
- The AS1or AS2 will be assigned to cases on a rotating basis. No appeal will be reviewed in a
 consecutive manner in order to maintain independence and impartiality when rendering
 appeals decisions (i.e. AS1 reviews an appeal, the re-submission of the appeal is reviewed by
 AS2).
- The Appeals Specialist must re-open the file electronically in the SharePoint tool.
- The AS1 or AS2 will then review the latest information submitted and compare all information related to the appeals case within thirty (30) days from the receipt of the applicant's supporting documentation.
- The Appeals Specialists will begin to research the applicant's file by reviewing the Appeals Specialist's conclusions, the Mitigation Analysts findings, the internal documentation that led to the structure's ineligibility decision and additional supporting documentation submitted postappeal acceptance.
- The Appeals Specialists will contact the applicant within fifteen days of receiving the applicant's appeal feedback to clarify appeal issues and to collect additional information and/or documentation.
- The Appeals Specialists will check off information and policies reviewed and mark any areas of concern or discrepancies found when reviewing the applicant's award calculations.
- Once the decision has been made, the Appeals Specialists will generate an Update Appeals
 Report upon the review of all information/policies related to the appeal case. Much of the
 information included will be based on the ability of Appeals Specialists to accurately and
 objectively assess the overall situation as well as break down decisions in a timely manner.
 The Update Appeals Report will include copies of all applicable documentation that supports
 the decision made by the Appeal Specialist.
- The update report will also be reviewed by a QA/QC Analyst for concurrence. All subjective assessments must be discussed with the ARS and possibly the Regional Supervisor to come to a consensus on what will be documented and/or recommended by the Appeals Office.
- The QA/QC Analyst will evaluate the file and verify:
 - o The applicant/ Co-Applicant *Road Home* information (name, identification number, and address)
 - o FEMA Clearance
 - o The applicant's program eligibility and the documentation used to verify eligibility

- Total Project Cost/ Duplication of Benefits
- Petition Information and Documentation
- The QA/QC Analyst will return the appellant's file within five business days.
- All revisions that are not in question will be incorporated by the Appeals Specialist.
- If the QA/QC Analyst has questions or concerns regarding the appeal, he/she will return the file to the Appeals Specialist for modifications and/or reassessment.
- If the QA/QC Analyst is in agreement with the Appeal Specialists recommendation, the report and/or file is forwarded to ARS/RS for review and concurrence.
- Once the Appeals Update File and/or Report has been reviewed by ARS/RS (batch analysis-Pass/Fail basis), the Appeals Specialist is responsible for placing the report in the mail to the applicant's current address.
- The Appeals Update report will detail the applicant's reason for acceptance or denial. The applicant will not be allowed an additional opportunity to appeal.
- Once the appeal has been closed, the physical file will be stored in the HMGP filing cabinet.
 The electronic file will be marked closed in the SharePoint tool.

4.12 CLOSEOUT PROCESS

FEMA and GOHSEP approved checklists will be completed prior to the final payment and closeout of all properties.

- Each MA is responsible for completing closeout worksheets for each structure.
- Once complete, the MA will forward a weekly closeout report to ATL/TL for review.
- The ATL/TL will review each case and forward on to the QA/QC, if applicable.
- QA/QC will review and forward on to the ARS, if applicable.
- ARS will compile a Regional report for the RS after review. The ARS will also provide feedback to each Region when applicable.
- RS will review, provide feedback to the ARS when applicable, and draft the applicable final payment and closeout letter for structures deemed read.
- RS will forward to management for final review.
- The HMM will formally submit the batch of properties to the SHMO for final payment and closeout following his receipt of the SF270 from OFSS.

Items needed for Project Closeout

All records and documentation associated with this project should be retained for a minimum of five (5) years.

This information should include, but is not limited to the following:

- Copies of the request for reimbursement forms (SF270) and the fiscal activity summary sheet.
- Original application and any change in scope of work approvals.
- Invoices, receipts, vouchers, or other verification of expenses.
- Duplication of Benefits worksheets and information
- Final Inspection Photos
- Copies of contracts awarded for project work.
- A complete fiscal activity summary listing all requests for reimbursements and monies received.

- Certificate of Occupancy, when applicable
- Applicant covenant verifying that the conditions of all applicable codes, regulations and environmental requirements have been met or will be adhered to.
- Original voluntary participation agreement signed by the homeowner and additional items identified as necessary for audit purposes.

Cost Overrun/Underruns

Cost overruns/underruns will be reported on a per structure basis.

5.0 PROGRAM SUPPORT WORK PROCESSES

5.1 Contracts

Support Purpose

To economically secure resourceful services, supplies and equipment for the Hazard Mitigation Grant Program.

Scope

This procedure applies when seeking a solution to a definitive problem, for the acquisition of services, supplies, etc. including technical equipment as well as professional, personal, and consulting services for use of the Hazard Mitigation Grant Program.

5.1.1 Request for Proposal Process

- The requestor must identify the need, develop an estimate, and coordinate with the Finance Officer to determine if funding is available. Note: Only members of management are authorized to initiate such requests.
- If funding is available, the requestor must discuss the requirement and seek approval from the Hazard Mitigation Manager (HMM) before coordinating with the Hazard Mitigation Contract Officer (HMCO).
- Upon receipt of approval from the Hazard Mitigation Manager, the requestor will coordinate with the HMCO to discuss the requirement.

A. Process for Contracts Less than \$50,000

- If the total maximum amount of compensation will be less than fifty thousand dollars, the contract may be awarded without the necessity of the competitive RFP process.
- The requestor must identify a contractor capable of providing the services.
- The HMCO will provide the requestor with a sample scope of work and identify sections which must be completed by the requestor. At minimum, the requestor will be responsible for identifying the goals and objectives, performance measures, term of the contract, pricing structure, and identifying the scope of services which includes but shall not be

limited to contractor tasks and responsibilities and deliverables. The HMCO will provide assistance to the requestor on an as needed basis.

- The HMCO will solicit pricing information from the contractor identified based on the scope of work developed by the requestor.
- The HMCO will forward the pricing information to the HMM for review and approval.
- Upon receipt of approval, the HMCO will draft a contract using the standardized template provided by OCR and forward to HMM for comments and approval.
- During the interim, the HMCO will draft an approval letter for GOHSEP detailing the requirement and associated cost. The approval letter will be signed by the HMM and forwarded to GOHSEP.
- Once the HMM approves the contract, the HMCO will forward the contract to the Louisiana Recovery Authority Contract Officer (LRACO) for comments.
- The LRACO will return the document with noted corrections or required revisions.
- Once all revisions provided by the LRACO are addressed and approval is received from GOHSEP, the contract will be forwarded to the contractor for signature by the HMCO.
- The HMCO will forward the signed contract and any supporting documentation to the LRACO. The LRACO will route the contract to the appropriate parties for signature (Executive Director and/or Commissioner).
- An executed copy of the contract will be forwarded to OCR for review and approval by the LRACO. OCR will assign an approval number to the contract when approved. The approved copies of the contract will be forwarded to the LRACO.
- The LRACO will forward a copy of the approved contract to the Office of Finance and Support, the HMCO, and other parties deemed appropriate.
- The HMCO will forward a copy of the approved contract to the contractor.
- Once the contract is awarded, the HMCO will monitor the contract to ensure that that contractor adheres to the contractual terms and conditions. The appointed Project Manager will monitor technical requirements.
- B. Process for Contracts Exceeding \$50,000
 - If the total maximum amount of compensation will be more than fifty thousand dollars, the contract must be awarded using the competitive RFP process.
 - The requestor will be responsible for identifying the goals and objectives, performance measures, purpose, developing the scope of work which includes but shall not be limited to

contractor tasks and responsibilities and deliverables, evaluation criteria with assigned point values, pricing structure, and provide any other necessary information. The Contract Officer will provide the requestor with template RFPs to assist with this effort and will provide assistance to the requestor on an as needed basis.

- The HMCO will be available to answer any questions or provide guidance regarding the development of the RFP.
- Once the requestor completes the designated template, the document will be submitted to the HMCO for comments.
- The HMCO will return the draft RFP with noted corrections and/or required revisions.
- Once all revisions are addressed, the document will be forwarded to the HMM for review and approval.
- Upon receipt of approval, the draft RFP will be forwarded to the LRACO for comments.
- Once all revisions provided by the LRACO are addressed, the draft contract will be forwarded to the Office of Contractual Review for comments.
- During the interim, the HMCO will request approval from the Hazard Mitigation Manager to post public notices to the following newspapers and/or journals: <u>'nretreage@timespicayune.com'</u> (*Times Picayune, please use account ending in 312C); <u>'legal.ads@theadvocate.com'</u>; <u>'shrlegals@gannett.com'</u>; <u>'adv@americanpress.com'</u>; <u>'rpenfold@smqpo.gannett.com'</u>; <u>'legals@houmatoday.com'</u> and <u>'laught@thetowntalk.com'</u>.
- The Hazard Mitigation Manager will request approval from the DRU Deputy Executive Director to post the public notices.
- OCR will return the document with noted corrections or required revisions.
- Once revisions provided by OCR are addressed and approval is received, the HMCO will
 forward the public notice to the newspapers and/or journals for posting. The public notice
 must be submitted by 3 PM CT (3) business days in advance of the publication.
- The HMCO will prepare the public notices for mail out to the Prequalified Offerors List provided by OCR. The notices will be mailed out by the HMCO (1) business day before the RFP is posted on the LaPAC website.
- The Contract Officer will post the RFP on the LaPAC website, http://www.prd.doa.louisiana.gov/osp/lapac/pubmain.asp.
- The HMM must identify members of the evaluation committee. The evaluation committee will be responsible for evaluating the proposals received in response to the Request for Proposal.

- The HMCO will monitor the Hazard Mitigation mailbox for questions in response to the RFP and submit to the appropriate individuals for responses.
- The HMCO will be responsible for posting addenda to the RFP to provide for any clarifications and answers to questions received in response to the RFP.
- The HMCO will develop scoring and evaluation worksheets for the evaluation committee.
- The HMCO will time stamp and record receipt of each proposal and related material from the proposers, assign control numbers, conduct administrative compliance and mandatory requirements review, distribute copies of eligible proposals; obtain signed acknowledgements of receipt, assist with meeting logistics as well as reference checks, and evaluate cost proposals.
- The evaluation committee will review the eligible proposals independently by noting each proposal's strengths and weaknesses, but will not assign any numeric scores to any proposal. The evaluation committee will later meet as a group to discuss proposals and assign consensus-based scoring for each criterion. Upon conclusion of the consensus scoring, the evaluation committee will total all the points received to facilitate discussion and to record the results.
- The HMCO or appointed individual will score the cost proposals.
- Upon identification of the successful proposer, the HMCO will assemble a package for Executive Director's signature. This package will include a regrets letter for each unsuccessful proposer, the intent to award notice for the successful proposer, and an overall summary of the scoring. The HMM will deliver the package to the Executive Director for signature.
- The HMCO will forward the signed copies of the regrets letter to each unsuccessful proposer and the intent to award notice to the successful proposer via email and U.S. Postal Service upon receipt.
- The HMCO will draft the contract and forward to management for review and approval.
 The contract may also be forwarded to individuals deemed appropriate by the HMM for review.
- During the interim, the HMCO will draft an approval letter for GOHSEP detailing the requirement and associated cost. The approval letter will be signed by the HMM and forwarded to GOHSEP.
- Once the HMM approves the contract, the HMCO will forward the contract to the Louisiana Recovery Authority Contract Officer (LRACO) for comments.
- The LRACO will return the document with noted corrections or required revisions.

- Once all revisions provided by the LRACO are addressed and approval is received from GOHSEP, the HMCO will forward the draft of the contract to the contractor via email and schedule a date for contract negotiations.
- The RFP Coordinator, with staff assistance, will conduct contract negotiations with the proposer receiving the highest score. Once negotiations are completed, the contract will be finalized and forwarded to the contractor for signature.
- The evaluation committee will draft a selection memorandum for Executive Director's signature describing the following: list of proposers, evaluation process, final scores, and recommendation for award.
- The HMCO will assemble an award package including the selection memorandum, LaPAC posting, copy of the RFP and subsequent addendums, signed scoring sheets from the Evaluation Committee, confirmation of public notice posting in newspapers and/or journals and public notice mailing to the Pre-Qualified Offerors List, and any other documentation substantiating the selection for award.
- The selection memorandum and contract will be routed to the appropriate parties (Executive Director and/or Commissioner) for signature.
- The award package, signed contract, and (1) original and (1) copy of each proposal received in response to the RFP will be forwarded to the LRACO.
- The award package, signed contract, and (1) original of each proposal received in response to the RFP will be forwarded to OCR for review and approval by the LRACO.
- OCR will assign an approval number to the contract upon approval. The approved copies
 of the contract will be forwarded to the LRACO.
- The LRACO will forward an approved copy of the contract to the Office of Finance and Support, the HMCO, and other parties deemed appropriate.
- The HMCO will forward a copy of the approved contract to the contractor.
- Once the contract is awarded, the HMCO will monitor the contract to ensure that that contractor adheres to the contractual terms and conditions. The appointed Project Manager will monitor technical requirements.

5.2 HMGP Finance

Purpose and Scope

The purpose of HMGP Finance is to support HMGP by providing sound fiscal guidance and operations through budget forecasting, fiscal research, expenditure processing, and project management.

5.2.1 Travel

Travel Authorizations

- Traveler/Travel Organizer should obtain a Travel Authorization (TA) from the Office of State Purchasing and Travel website (http://www.doa.louisiana.gov/osp/osp.htm) under State Travel then forms. The traveler/travel organizer should complete the TA and submit to his/her supervisor for review.
- The TA should be forwarded to the HM Manager Administrative Assistant for approval from the HM Manager.
- Once signed by the HM Manager, the Administrative Assistant prepares a routing slip and forwards the Executive Administrative Assistant to the Deputy Director of the DRU.
- The Executive Administrative Assistant to the Deputy Director of the DRU forwards the TA to the Executive Assistant to the Director of OCD for review and approval
- Once signed by the OCD Director, the TA is returned to the Executive Administrative Assistant to the Deputy Director of the DRU to forward to the Deputy Commissioner for the Division of Administration.
- Once approved by the Deputy Commissioner for the Division of Administration, the original is forwarded to the Accounting Technician for OCD at the Office of Finance and Support Services (OFSS) and a copy is sent to the HMGP Finance Officer.
- A copy is given to the HM Manager's Administrative Assistant.

Travel Expense Account - Travel Voucher

- Traveler should obtain a copy of the Travel Expense Account/Travel Voucher (TV) from the Office of State Purchasing and Travel Website (http://www.doa.louisiana.gov/osp/osp.htm). Select "State Travel" and the "Forms."
- The traveler should complete the form, attach necessary receipts, and forward to the Finance Officer.

<u>Financial Processing of Travel Voucher</u>

- All travel expenses are reimbursed based on the State of Louisiana's Travel Policies and Procedures (PPM 49).
- Upon receipt of a travel voucher, the Finance Officer does the following: (1) reviews for compliance with PPM 49, (2) makes necessary corrections, (3) provides fiscal coding, and (4) matches the TV with the corresponding TA.
 - o If the TV does not comply with PPM 49, it is returned to the traveler for correcting.

- o If the Finance Officer does not have an approved TA, the TV remains with the Finance Officer until an approved TA is obtained.
- Once approved by the Finance Officer, the TV is forwarded to the HM Manager for approval.
- The HM Manager returns approved TV to the Finance Officer to forward to the Disaster Recovery Unit (DRU) for approval by Financial Manager.
- The approved TV is then forwarded to the accounting technician for OCD at the Office of Finance and Support Services (OFSS) for processing and check issuance.
- OFSS contacts the Finance Officer when travel checks are ready for pick up.
- Travel checks are issued weekly on Tuesday and Friday.
- When obtaining their travel check from the Finance Officer, travelers must sign the check receipt log.
- A copy of the travel check is retained by the Finance Officer for filing with the TV.

5.2.2. Project Cost Reimbursement & Payment

- Homeowner payment request are sent to the Finance Officer (FO) for processing upon approval by the HM Manager.
- A payment request spreadsheet containing the homeowners name, parish, applicant id, payment type (midpoint/final), mitigation measure (elevation/reconstruction), and applicable MA is sent to the FO via email by the RS/ARS. The RS/ARS also provides the FO with copies of the payment processing checklist for each homeowner.
- The FO reviews each checklist for calculation accuracy.
 - o Checklists that require corrections are returned to the RS/ARS.
- The FO verifies that each homeowner has been setup and has an active Electronic Funds Transfer (EFT) status in ISIS.
 - o Homeowners that have not been setup in ISIS and/or do not have active EFT statuses are retained by the FO until they have active EFT statuses.
- The FO creates a spreadsheet with the following information for each approved homeowner payment.
 - Homeowner name
 - o Disaster
 - Applicant ID Number
 - Mitigation Analyst
 - Homeowner SSN
 - Total HMGP Award Amount
 - o Midpoint Payment Amount if Applicable
 - o Current Payment Amount
 - Total Payments to Date
 - Fiscal Coding
- A cover letter requesting preparation of a SF270 by the Office of Finance and Support Services (OFSS) and spreadsheet are forwarded to the HM Manager for signature.
- Once the cover letter has been signed by the HM Manager, both documents are forwarded to the DRU Financial Manager for approval.
- After approval by the Financial Manager the documents are sent to the OCD accounting technician at the OFSS.

- The accounting technician creates payment vouchers in ISIS for each homeowner and forwards the request to the OCD accountant at the OFSS.
- A SF270 is prepared by the OCD accountant and picked by the FO.
- The FO prepares a cover letter requesting payment from the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) for each homeowner.
- The cover letter and SF270 are forwarded to the HM Manager for signature.
- Once signed, copies of all documentation are made and given to the Administrative Assistant for the HM Manager, the Assistant HM Manager, the Regional Supervisor and Assistant Regional Supervisor. A copy is also retained by the FO.
- The FO obtains copies of the entire payment package for each homeowner from the Regional Supervisor and submits the cover letter, the SF270, and the payment packages to GOHSEP.
- The cover letter, SF270, and copies of the corresponding processing checklists are filed with the FO.
- Funding for homeowner payments is transferred from GOHSEP to the OFSS through ISIS by interagency transfer (J4).
- Once funds have been transferred to the OFSS, the accounting technician for OCD approves the payment vouchers for payment to the individual homeowners.
- Homeowners paid via EFT receive payment within 3 business days from the date of approval.
- For those homeowners that receive payment via check, the OFSS accounting technician notifies the FO when the check is available for pickup. Checks are issued weekly on Tuesday and Friday.
- Once the check is picked up, the FO makes a copy to retain and gives the check to the Regional Supervisor.
- The FO checks the Office of Statewide Reporting and Accounting Policy (OSRAP) website at (http://www.doa.louisiana.gov/osrap/index.htm) for EFT/Check clearance.
- The FO prints out copies of the EFT/Check clearance documentation from OSRAP, retains a copy and gives a copy to the Regional Supervisor.

5.2.3. Project Management & Administrative Expense Reimbursement

- The OFSS is responsible for requesting reimbursement for all expenditures incurred by OCD-DRU/HMGP from GOHSEP.
- Prior to the creation of each SF270, the HMGP FO is notified by the OFSS accountant. The FO runs a Business Object report and reviews all expenditures for the period covered by the SF270. Each expenditure should be reviewed for compliance with Federal Eligibility Guidelines.
- Once the FO has reviewed all expenditures, the accountant is notified to complete the SF270.
- The OFSS accountant completes the SF270, creates an interagency transfer (J4) in ISIS and provides the following supporting documentation.
 - o Business Object Report
 - o Payroll Expenditure Detail Report
 - Hourly payroll detail report
 - o Interagency Transfer (J4)
 - Documentation to support correcting journal vouchers(J6)

- The OFSS accountant contacts the FO once the SF270 is ready for pick up.
- The FO must also provide supporting documentation such as invoices, purchase orders, travel vouchers, contracts, etc. for all travel expenditures and non-routine operating expenditures. GOHSEP reserves the right to ask for supporting documentation for any and all expenditures as they deem necessary.
- The FO prepares a cover letter requesting reimbursement from the (GOHSEP) for all eligible project management and administrative costs.
- The cover letter, SF270, and supporting documentation are forwarded to the HM Manager for signature.
- Once signed, the documents are copied by the FO. A copy is retained by the FO and one
 is given to the HM Manager Administrative Assistant and AHMM.
- The original documentation is submitted to GOHSP.
- Once GOHSEP has approved the request the funds are transferred to the OFSS.

5.2.4. W-9 & EFT Submission

Request for Taxpayer Identification Number and Certification (W-9)

- The state of Louisiana requires all vendors to complete IRS form W-9, Request for Taxpayer Identification Number and Certification, for all vendor payments. The OFSS is responsible entering vendor information into ISIS and the OSRAP is responsible for activating the vendor in the system.
- All homeowners who expect to receive funds from the OCD-DRU HMGP must complete a W-9 and submit to their respective Mitigation Analyst (MA).
- Mitigation Analyst should ask each homeowner to complete a W-9 once it is determined that they are eligible for the program and will receive funding.
- Upon receipt of the W-9, the MA should forward it directly to the FO.
- The following procedures should be utilized by MAs for review and submittal of W-9 to the HM FO.
 - o Information must be legible
 - o Must have only ONE person's name and SSN
 - Homeowners should use the address of their current residence or where they will receive mail through the end of the year
 - o Must include telephone number where homeowner may be reached
 - Must be signed and dated by homeowner (exception: if the homeowner has given power of attorney to someone else that person may sign, but we must have a copy of the legal document giving this authority)
 - o MA should place the W-9 in their respective Folder on the Finance Officer's desk.
 - o W-9's should be submitted between the hours of 7 am and 3:00 pm weekly
- W-9's are stamp dated upon receipt and reviewed for adherence to the procedures outlined in the previous bullet.
- In an effort to keep all parties involved in the W-9 process, a spreadsheet was created and placed on FileNet, a web based shared drive. This spreadsheet is utilized by the HM FO, the OFSS, and the OSRAP to track W-9 submissions. This spreadsheet can be accessed at:

(http://wwwfnp8.doa.la.gov/Workplace/WcmSignIn.jsp?targetUrl=WcmDefault.jsp&targetBase=http%3A%2F%2Fwwwfnp8.doa.la.gov%2FWorkplace&sessionId=578728BB1EFB9C6

<u>504E1FC9DFDC5972A&originlp=204.196.242.45&originPort=</u>). The HMFO has access to update the spreadsheet daily from 8 am to 12 pm. The following information from the W-9 should be logged on the spreadsheet by the HMFO:

- Homeowner name
- Homeowner SSN
- Respective MA
- o Original Date of Submission to FO
- If the W-9 has to be returned to the MA for non-compliance, the following procedures are performed.
 - o The date of return to the MA is logged on the spreadsheet
 - o The reason for the return is logged on the spreadsheet
 - o The W-9 is returned to the respective MA
 - o Once the corrections are made, the date of return is logged on the spreadsheet
- All W-9's meeting the requirements outlined above are forwarded to the OCD accounting technician at the OFSS. This date should be logged on the Hazard Mitigation spreadsheet.
- Upon receipt the accounting technician will enter all applicable information from the W-9 in ISIS.
 - o If the accounting technician has problems with legibility or missing information on the W-9, the HM FO is notified via email.
 - o The FO forwards the request to the MA and once the response is received forwards the information back to the accounting technician.
- The accounting technician then forwards the W-9 to the OSRAP, for vendor activation in ISIS.
- The OSRAP logs the activation date on the Hazard Mitigation spreadsheet.

5.2.5. Electronic Funds Transfer Enrollment

- All applicants of the HMGP are required to enroll in electronic funds transfer (EFT) for distribution of HMGP funding.
- If an applicant in unable to enroll in EFT, a letter justifying the need to opt out of EFT enrollment must be submitted to the respective MA. This letter should be submitted to the FO to forward to the Director of the OFSS. The Director of the OFSS reserves the right to accept/decline the request to opt out of EFT enrollment.
- EFT enrollment forms can be found on the OSRAP's website at (http://www.doa.louisiana.gov/OSRAP/EFTforWebsite.pdf). These forms can also be faxed, mailed, or emailed to the applicant by the respective MA.
 - o MA that fax or mail the form to the applicant should write "HMGP" on the bottom of the form.
 - o MA's that email the form or ask the applicant to obtain a copy from the OSRAP's website should ask the applicant to write "HMGP" on the bottom of the enrollment form
- All completed forms and required documentation should be mailed directly to the OSRAP.
- The following procedures should be used by MA's when communicating with applicants concerning EFT enrollment forms:

- All forms must be mailed to the Office of State Reporting and Accounting Policy (OSRAP) at the following address: Office of Statewide Reporting and Accounting Policy, P.O. Box 94095, Baton Rouge, LA 70804-9095 (Fax: 225-342-1053)
- Should an applicant have any questions concerning the form they should be directed to contact OSRAP's help desk at 225-342-1097.
- o If an applicant sends the EFT enrollment form to their respective MA, the form should be forwarded directly to the HM FO.
- EFT Enrollment forms submitted to FO should be logged on the Hazard Mitigation spreadsheet on FileNet. The following homeowner information should be logged on the spreadsheet:
 - Homeowner name
 - o Homeowner SSN
 - Mitigation Analyst
 - Date received by FO
- All EFT Enrollment forms received by the FO should be forwarded to the OSRAP immediately.
- Once the OSRAP has entered EFT information in ISIS and activated their EFT status, the activation date is logged on the Hazard Mitigation spreadsheet.
- If the OSRAP has problems with the EFT enrollment form and/or supporting documentation this information will be logged on the Hazard Mitigation spreadsheet and the homeowner will be contacted directly by the OSRAP.

5.3 Human Resources

Purpose

To assist internal staff with all applicable employee relations measures

Scope

This office functions to adequately staff and maintain HR management programs to ensure organized operations of the OCD – DRU Hazard Mitigation Grant Program.

5.3.1 Employee Recruitment/Job Inquiries

- Write and place ads in newspaper and other publications
- Post vacancy ads on OCD-DRU Hazard Mitigation website (when website is established)
- Post vacancy ads with local Universities for student job vacancies
- Log resumes received and forward to Interview Committee
- Coordinate interview scheduling with interview committee
- Send "no thank you" letters to interviewees not selected
- Track hiring data
- Maintain application files

5.3.2. Applicant Selection and Placement

 Interview committee makes recommendation for hire and recommends position and compensation using two tier processes.

- Prepare conditional offer letter for approval by Director of OCD
- Prepare paperwork for DOA to contact applicant so conditions are met.
- Prepare Personnel Action Request for approval by Director of OCD and Commissioner of Division of Administration
- Upon final approval of hiring from DOA in recommended position and compensation, the applicant is contacted concerning final offer, date of hire and further requirements.
- Prepare badge request and forward to Department of State Buildings
- Prepare LAN form and PC request and forward to IT for computer issuance and e-mail set-up
- E-mail new hire with instructions on how to obtain badge and where to report for work.
- Set up Benefits orientation with DOA Human Resources
- New Hire Procedures and Orientation
- Assign new hires to their desk and work area
- Assist them in acquiring a computer and supplies
- Assist them in acquiring necessary communications equipment, parking passes and identification badges
- Complete internal administrative paper work
- Provide organization orientation and job requirements
- Review policies and procedures, such as leave and overtime policy, timesheets, etc.
- Provide new hires orientation materials, policies and procedures
- Introduction/Orientation to facilities
- Introduce new hires to their respective team and team leader, fellow employees and management
- Coordinate with Training Specialist for new hire training programs.
- Provide new hires with Corporate Travel Card application and all other related documents related to travel, procurement and reimbursement
- Review for accuracy all personnel and payroll entries for new hire and communicate any discrepancies to DOA HR.

Employee Inter-Division Communications

- Serves as liaison between OCD-DRU HMGP, DOA Human Resources Office and management in the following areas:
 - o Health, Dental, Vision and Life Insurance
 - o Information on other vendor health products
 - o LASERS the State's Retirement Program
 - Voluntary Deferred Compensation Savings Plan
 - Risk Management issues
 - Policies and Procedures
 - o Safety Programs
- Payroll System Maintenance
 - o Assist employees with payroll questions and time entry LEO issues
 - o Audit timesheets and entries into LEO using ISIS HR/payroll system
 - Ensure that proper documentation exists on leave or overtime requests are submitted when not entered into LEO (i.e. offsite – unable to enter; timed out – Supervisor did not have opportunity to approve on line, etc)
 - o Obtain OCD Director approval signatures on time sheets
 - Prepare various reports for management
- Personnel/Payroll Records

- o Maintain internal Hazard Mitigation personnel records and forward pertinent personnel documents to DOA HR for inclusion in the official Personnel Record.
- o Maintain payroll records for all pay periods.

Performance Evaluations

- Advise managers and supervisors of anniversary dates and compensation information 2 months in advance of performance review date, and provide Performance Evaluation forms.
- Upon recommendation of management, prepare Personnel Action Request for any merit increases.
- o Forward original Evaluation to DOA HR for filing in official personnel record.
- Review any DOA personnel and payroll entries to ensure accuracy of entries.

Responsibilities

- Serve as the staff specialist performing diversified analytical tasks in the maintenance of human resource management programs and provides assistance to department personnel on its policies and procedures in assigned areas.
- Administer a portion of the payroll administration program for the sections' HR program; perform time entry and payroll audits, and maintain payroll files. Provide payroll reports to supervisors and management.
- Support the Safety Programs for the department; participate in the development, implementation and revision of the safety plan and evacuation plan; serve as liaison between department and Office of Risk Management.
- Perform staffing functions for the department; prepare advertisements for review and places employment ads in newspapers and other publications; track and report hiring data; ensure that all requirements have been met and prepare forms for final approval. Coordinate with Training Specialist on training programs for new employees.
- Conduct new hire orientation by providing induction documents to new employees providing guidance and a general overview of each document, OCD policies and procedures
- Support the employee administration functions required to process the full range of personnel and payroll actions needed to complete appointments, performance evaluations, merit increases, promotions, transfers, separations, etc.
- o Provide general information to employees regarding the various options available under the wide range of benefit programs.
- Write position descriptions.

5.4 Information Technology/ Reports

Support Purpose and Scope

The main function of the IT Report Specialist is to provide OCD-HM staff support and services in Information Technology (IT), Reporting, Database development, Microsoft SharePoint, and Geographic Information Systems (GIS).

5.4.1 Objectives

- Applicant File Maintenance
 - Create reports for all applicant documentation and information, contact logging, applicant eligibility, benefit determination, cost information and award related data.
 - o Maintain the application data and application status for approximately 229,000 Road Home applicants (over 125,000 are "potentially eligible Option 1").
 - Applicants are maintained with a unique identifier assigned to the applicant by ICF, Road Home contractor.

Document Management

- IT Staff currently perform scanning and conversion of documents to PDF/JPG as needed. However, JFO users are in the process of being set up to scan their own files.
- Documents will be saved using the applicant identifiers.
- O Documents will be associated with the applicant in SharePoint and updated as needed (VPA, scanned docs, inspection form, etc.).

Scheduling and Ordering

 Currently track appointments, inspections, and other award related events in SharePoint which are maintained by the Reports Specialist.

Forms and Letter Generation

- The IT Staff is creating a solution to allow for creation of letters, documents and, mailing labels to auto populate using application data in MS Word and MS Excel.
- o Letters and forms will be associated with the appropriate applications and saved as a unique document type once the process is in place.
- We are currently capable of generating letters and forms at the request of staff.

Communication Log

 Communication log (IB/OB Tasker in SharePoint) which tracks and maintains a record of all communication with an applicant.

Accounting, Award Estimation and Disbursement

- Basic accounting functions, such as formula based calculations, are currently in place in SharePoint ("Target List"). The calculations include duplication of benefit calculations, match and overmatch calculations, cost overruns and underruns, award estimations, and mid-point and final payment calculations.
- Currently, the only changes being captured in SharePoint are the initial entry and most recent change and apply to the entire record – it does not currently single out the fields changed.
- User interaction is currently required for QA/QC prior to payments being issued or approved.
 - The approval process currently includes multiple tiers of approval by multiple sets of users, such as the HM staff, DRU staff and possibly other state and federal agency staff.
 - Each application is approvable only when the application has fulfilled defined criteria as manually identified by staff.

- The system allows applications to be processed and approved in batch format

 staff currently must provide IT with the list of eligible applicants and fields
 can be updated or letters created in bulk.
- The system currently tracks all dollar amounts in the approval calculation and disbursement by individual applicants (and can apply to batches), allows for various defined groups of dollars and provides reconciliation for expected amounts vs. actual amounts regarding costs.
- When approval and/or disbursement are complete, reports can capture dollar amounts.
- System can also capture funds that are returned either from the homeowner or on the behalf of the homeowner, although this has not yet occurred. This would be used to calculate the current outstanding balance per application and to identify if additional disbursements or recapture of funds is needed.
- Match and overmatch and under and overruns for costs to GOHSEP are currently entered into SharePoint "Target List". We can track and report on these items as needed.

5.4.2 Reporting

- We are working to automate reports to be run on an as needed basis. Once users understand Access, they will be able to define their own criteria by creating queries and run their own reports.
- Using Access and/or Excel, staff can report on any action or data field currently captured in SharePoint.
- We are working on the creation of automated reports based on defined criteria (weekly, monthly, and quarterly). Once complete, users will be able to select the report to see the most current numbers and print reports as needed.
- o Reports will be viewable within Access and can be saved and/or printed.

5.4.3 Training

o IT Team works with Training staff as needed to address deficiencies in knowledge base among users.

5.4.4 Technical Assistance Request Process

Staff can request IT services (training, software/hardware issues, reports) via IB/OB Tasks in SharePoint (implemented 03/03/09). There is a field on the form titled "IT Reports Request". The appropriate service request should be chosen from the drop down list. For reports a report request form must be filled out detailing the formatting and data input for the report, and attached to the IB/OB Task. Requests regarding SharePoint should be sent to Adam Mongesku, Software/Hardware issues should be sent to Susan Pugliese, Report Requests should be sent to Mary Sharp.

Responsibilities of the Information Technology Specialist

1. IT Support

- o Creates and manages user accounts and manage passwords.
- o Installs software and establishes connections (wireless and LAN)
- o Configure and connects peripherals (printer, scanner, camera, etc.)
- Troubleshoots and resolves hardware issues (change out defective parts)
- o Provides training to staff on applications and software as needed
- Performs manual installs of updates related to software and equipment as needed (Microsoft updates, Symantec updates, patches, service packs, hardware, and peripherals to include BIOS, chips, firmware, flash, drivers)
- o Configures equipment and connections as needed
- Creates complete back-ups of user profile, files, folders, and data to be placed on another machine
- o Performs back-up, recovery, and restoration operations as needed
- o Installs, sets-up, and manages users in IP printing environment
- Provides support in the integration of workstation peripheral hardware (such as printers, modems, scanners, etc.)
- Supports the integration of laptops and workstations
- Analyzes and diagnoses network performance problems and troubleshoots problems identified
- o Configure and connects Blackberry phones
- o Maintains inventory database
- o Possess technical writing skills capable of producing user agreement forms as needed
- Possess technical writing skills capable of producing RFPs as requested by management
- o Installs and provides day-to-day end user support of the local area network by identifying, analyzing, testing and correcting data, and procedural problems.
- o Compiles and maintains documentation of hardware and software configurations
- o Installs software and hardware in order to manage, monitor and otherwise support an extensive computer systems network
- Assists in implementing a communications system connecting the various components of an enterprise network
- o Assists in monitoring performance and efficiency of an enterprise network
- o Attends formal training in systems software programming; studies hardware configurations, operating systems designs, and software programming languages.

2. Database Management

- o Designs, creates, manages, and maintains databases
- o Designs, creates, manages, and maintains program-specific user applications in Access, SQL, and/or Oracle environments
- Creates and establishes connections to external data sources (such as ODBC protocols to form Oracle or SQL database connection)
- Creates links to external data sources (tables and data contained in SharePoint services and/or Excel)
- o Imports and exports data as needed

- Creates all types and levels of queries (such as SQL, select, cross-tab, delete, append, update)
- Creates reports and forms from existing tables and queries

3. SharePoint

- o Sets up User accounts, Groups, and user sites
- o Administers User accounts and Group permission settings
- Assists users with little technical experience with things such as logging in, helping set up and reset passwords as needed
- o Imports and exports files and documents
- o Creates and customizes lists, settings, and permissions
- o Creates and modifies Views and assigns default views
- Creates basic expressions and calculations (i.e. contents of Row 1 + Row 2 = Total in Row 3)
- Sets the versioning settings when applicable
- o Defines columns and settings, as well as the ordering of column contents
- o Troubleshoots problems and issues as they arise. (This could be anything from helping a user that has been locked out of SharePoint regain their access, to discovering why a certain task may not be functioning properly and implementing the correct course of action to resolve the issue.)

4. GIS

- Utilizes ESRI ArcGIS Desktop and its extensions, such as Spatial Analyst and Network Analyst and ArcPublisher
- o Troubleshoots errors when performing spatial joins and queries
- Applies proper projections, re-project shapefiles as required, and apply projection transformations as needed
- o Establishes coordinate systems and applies/utilizes them effectively
- o Creates custom templates for OCD HM Section or uses pre-defined templates
- o Creates maps using accepted cartographic standards
- o Imports/exports different types of data and creates shapefiles based on that data
- Experienced using ArcCatalog.
- o Creates, edits, and maintains geodatabases
- Applies proper usage of labels and annotation
- o Capable of working with different types of data such as raster and vector
- Capable of setting up Global Positioning Systems (GPS) and setting applicable coordinate systems
- o Capable of performing transfers of field collected data
- o Identifies "bad" data and "scrubs" data as needed
- o Creates routes and produce maps with Network Analyst
- o Imports point data into ArcGIS from various formats (xls, xml, dbf, mdb, gdb, txt, csv, etc.), create shapefiles, and export dbfs as needed.

Note: The IT Team also has developed a circular to safeguard HMGP laptops. Please refer to Appendix IT: Information Technology - Safeguarding Laptops for the policy agreement.

5.5 Internal Audit

<u>Support Purpose</u>: To provide advice and guidance on the effectiveness of the program's internal controls through the use of operational and compliance audits to identify mismanagement, waste, and/or fraud.

<u>Scope:</u> This area functions to evaluate program efficiency, effectiveness, and compliance as it relates to program procedures and state and federal grant regulations.

Objectives:

- a. Subsection Operational/Compliance Audits
 - Conduct operational & compliance audits identified by the Hazard Mitigation Management
 - Develop risk assessment audit schedules, plans and steps
 - Identify significant deficiencies or material weaknesses in the operation of the program's internal controls, opportunities for improvement and key business processes and sub-processes
 - Analyze data obtained for evidence of deficiencies in controls, duplication of effort, extravagance, fraud or lack of compliance with laws, government regulations, and management policies or procedures
 - Examine records of departments and interview workers to ensure recording of transactions and compliance with applicable federal and state laws and regulations
 - Develop and implements a program for testing significant business process flows and narratives
 - Where necessary, develop and implement corrective action plans and evaluates their effectiveness
 - To identify how the program controls contribute towards the risk management
- b. Prevention of Fraud. Waste & Abuse
 - Identify program audit risks and exposures relative to fraud and waste measures
 - Identify and evaluate if established internal controls prevent and detect fraud
 - Identify high risk or high priority activities within the program that may have negative effects on the program
 - Conduct special studies for management such as those required to discover mechanics of detected fraud and to develop controls for fraud prevention
- c. Standard Operating Procedures
 - Review and, when necessary and in conjunction with department management, updates the Program's Standard Operating Procedures
 - Obtain and evaluates for effectiveness all relevant forms, spreadsheets, and other reports used to implement program processes and sub-processes

- Research and interpret federal and state laws, regulations and policies to ensure agency compliance
- Provide advice and guidance on how to streamline Homeowner payment process

d. Liaison for External Audits

- Prepare reliable and relevant audit schedules for external audit entities
- Serve as the contact in the event of an external audit to assist with managing the audit
 jointly so that issues can be raised and cleared on an ongoing basis for the audit
 progress (i.e. DOA, GOHSEP, FEMA, etc)

e. Reports/ Work papers

- Prepare reports of observations and recommendations to identify areas of noncompliance relative to program procedures and state and federal regulations.
- Maintain files of all work papers in preparation for external audits

Responsibilities:

Internal Audit Specialist

This position will perform internal control assessments for existing and proposed business processes within Hazard Mitigation Grant Program, which will include planning, scoping, design and implementation of internal control reviews of program processes, testing operating effectiveness of the controls, developing recommendations for remediation and control improvement, and presenting the recommendations to various levels of management. Typical responsibilities will include: preparing work paper documentation; performing risk assessments; consulting on existing and proposed processes and controls; interfacing with all levels of program personnel and internal and external auditors; briefing management on the results of reviews; and performing other duties and responsibilities as assigned

5.6 Procurement

Support Purpose

To economically secure resourceful supplies and equipment for the Hazard Mitigation Grant Program.

Scope

This procedure applies to the requisitioning supplies and equipment for the use of the Hazard Mitigation Grant Program in a well-organized manner.

5.6.1 Procurement of Supplies & Equipment

- The requestor (Hazard Mitigation (HM) staff member) must identify the requirement (i.e. office supplies, equipment, etc.) for purchase.
- The requestor is responsible for developing the statement of work and/or specifications for the requirement. This document shall include, but is not limited to, a description of the supplies and/or equipment, model number, size, color, quantity, suggested vendors/sources, and a cost estimate. This information can be located by conducting market research via the internet to compare available supplies and/or equipment, vendors,

and prices. Inadequate or poorly written specifications can considerably delay the processing of the requirement.

- The requestor will draft an email, including the information previously referenced to request approval to purchase the items and forward to the appropriate chain of command for approval. The email must also include a brief explanation of why the supplies and/or equipment are required. All purchase requests must receive approval from the respective requestor's Supervisor. Please note that the purchase request will not be processed without the necessary approvals.
- The Special Staff or Regional Supervisor will notify the requestor via email if the purchase request is approved or not.
- The approved email including the purchase request will be forwarded to the attention of the Procurement Specialist via email by the requestor. (See Appendix 5.0B: Procurement: Sample Email Purchase Request)
- The purchase request will be viewed by the Procurement Specialist and additional information will be obtained from the requestor, if necessary.
- The Procurement Specialist will forward the purchase request to the Hazard Mitigation Manager for approval.
- The purchase request will be forwarded by the Hazard Mitigation Manger to Deputy Executive Director for approval.
- The approved purchase request will be forwarded to the Procurement Specialist by the Hazard Mitigation Manager.
- The Procurement Specialist will determine the best procurement strategy (i.e. statewide contract or competitive process) to satisfy the purchase requests.

Purchase Amount Limits

- If the purchase is less than or equal to \$1,000 per transaction the competitive process is not required. If the items included in the purchase request are not offered under a state contract, a 'la carte' purchase card may be used to satisfy the purchase request as stated on Louisiana.gov webpage, Purchasing section.
- If the purchase requests meets the minimum requirement of a statewide competitive contract and the purchase is below \$25,000, the Procurement Specialist will generate a contract release order in the Advanced Government Purchasing System (AGPS) for approval and release by the OCD Finance Manager as stated on Louisiana.gov webpage, Purchasing section.
- If the purchase request **exceeds \$25,000**, the Procurement Specialist will compare contracts and seek best value procurements while multiple contracts exist for like or similar

items. A contract release order will be generated in AGPS and later approved by the OCD Finance Manager for release upon the completion of the best value determination, as stated on Louisiana.gov webpage, purchasing section.

- If the Procurement Specialist determines that a purchase request will exceed \$1,000 and not available through a state contract, a purchase request will be forwarded to the Office of Financial Support Services (OFSS) for processing. OFSS requires a 3-4 week lead time for the processing of a purchase request, as stated on Louisiana.gov webpage, purchasing section.
- Once the purchase request has been processed, the Procurement Specialist will provide a status update to the requestor via email and the estimated time of arrival.
- Purchase orders and contract release orders will be reviewed, approved, distributed to the vendor, and filed in a central location.
- A help desk ticket will be submitted by the Section Coordinator for assistance from the
 Office of Information Services (OIS) with the processing of all purchase request for IT
 equipment. In most instances, a DOA justification is required for all standard IT purchases
 which exceed \$1,000. The Procurement Specialist will complete the DOA justification and
 any required documentation with the assistance of the requestor, if necessary.
 (See Appendix 5.0A: Procurement- Sample DOA Justification Form)
- The Procurement Specialist will forward the DOA justification to the Hazard Mitigation Manager for review and approval.
- The DOA justification will be routed to the Deputy Executive Director for signature upon receipt of approval from the Hazard Mitigation Manger.
- The signed DOA justification will be forwarded to the OIS Director for approval and signature by the Procurement Specialist.
- Once approved, the OIS Director will forward the DOA justification to the Deputy Commissioner for approval and signature.
- OIS will generate purchase orders and/or contract release orders upon receipt of an approved DOA justification with all required signatures.

5.6.2 Ordering Goods and Services from Statewide Contracts

• If a statewide contract exists, it must be utilized in its entirety.

5.6.3 Emergency Procurements

- An emergency condition is a situation which creates a threat to public health, welfare, or safety such as may arise by reasons of flood, epidemics, riots, equipment failures, or such other reason as may be proclaimed by the Commissioner of Administration.
- The existence of such condition creates an immediate need for supplies/services that cannot be met through normal methods and the lack of which would seriously threaten the functions of Louisiana Government, the preservation of protection of property, and the health or safety of any person.
- Written approval from OFSS Purchasing must be granted if the emergency occurs during normal working hours.
- Should an emergency occur after normal working hours and an attempt has been made to contact OFSS purchasing without result, the section must notify OFSS Purchasing as soon as possible the next working day.
- When possible, three phone or quotes by email must be obtained prior to procurement.
- A copy of the bid tabulation along with written justification for the emergency procurement must be submitted to OFSS purchasing.

5.6.4 Requisitioning Procedures for Outreach Events

- The Team Leader must identify the requirement (i.e. hotel, venue to conduct outreach, security, etc.).
- The Team Leader is responsible for developing the statement of work for the requirement.
 The document shall include, but is not limited to, the dates in which the outreach event will
 be conducted, number of individuals that will require accommodations at one time, number
 of chairs and tables with dimensions, list of selected attendees, number of hotel rooms
 required, a minimum of (3) suggested vendors/sources, etc.
- If a conference space is required, the requestor will need to complete the form included in
 <u>Appendix 5.0C: Procurement Conference, Meeting, and Price Quote Request.</u>
 The
 requestor will also attach a layout which illustrates the set-up of the venue for the outreach
 event. The Team Leader can modify the form accordingly to reflect their actual
 requirement. For instance, if lodging accommodations are not required this section may
 be omitted from the form.
- The Team Leader will draft an email, including the information previously referenced to request approval and forward to the appropriate chain of command for approval. All requests must be approved by the Regional Supervisor.
- The Regional Supervisor is responsible for reviewing each proposed venue and notifying the Team Leader via email of approval.
- The Team Leader will forward the approved email including the purchase request and supporting documentation to the Procurement Specialist for processing.

- The purchase request will be viewed by the Procurement Specialist and additional information will be obtained from the requestor, if necessary.
- The Procurement Specialist will forward the purchase request to the Hazard Mitigation Manager for approval.
- The Hazard Mitigation Manager will forward the purchase request to the Deputy Executive Director for approval.
- The approved purchase request will be forwarded to the Procurement Specialist by the Hazard Mitigation Manager.
- The approved purchase request will be forwarded to OFSS for processing. Planning is
 essential as OFSS requires a 3-4 week minimum lead time for the processing of
 purchase requests.
- The competitive bid process will be conducted by OFSS and the bids received will be forwarded to the Procurement Specialist once the bid closes.
- The Procurement Specialist will forward the bids to the Team Leader for review and comments.
- OFSS will make award to the lowest bidder once approval is provided by the Procurement Specialist.
- OFSS will generate a purchase order and forward to the selected bidder for signature.
- Once the purchase order has been signed, OFSS will provide the Procurement Specialist with a copy. The purchase order will be filed in a central location.
- Instructions to secure lodging accommodations will be forwarded to the selected attendees by the Procurement Specialist once the purchase order is finalized by OFSS.
- Each Team Leader must ensure that the selected attendees complete the Certificate of Governmental Exemption from the Payment of Hotel Lodging Taxes.
- The completed forms for all selected attendees must be forwarded to the Procurement Specialist by the Team Leader at least one week before the scheduled outreach event.
- The Procurement Specialist will fax the completed exemption forms to the hotel and return to the Team Leader.

Lodging

If only lodging accommodations are required, the requestor will be responsible for drafting
a statement of work and identifying a minimum of three vendors and located within the
vicinity of the outreach event.

- The Team Leader will draft an email, including the number of nights lodging will be required, arrival and departure dates, selected, attendees, a minimum of three vendors, etc. to request approval and forward to the appropriate chain of command for approval. All requests must be approved by the Regional Supervisor.
- The Team Leader will forward the approved email including the purchase request and supporting documentation to the Procurement Specialist for processing.
- The purchase request will be viewed by the Procurement Specialist and additional information will be obtained from the requestor if necessary.
- The Procurement Specialist will forward the purchase request to the Hazard Mitigation Manager for approval.
- The Procurement Specialist will contact the hotels identified and obtain lodging rates.
- Instructions to secure lodging accommodations will be forwarded to the selected attendees by the Procurement Specialist.
- Each Team Leader must ensure that that the selected attendees complete the Certificate of Governmental Exemption from the Payment of Hotel Lodging Taxes.
- The completed forms for all selected attendees must be forwarded to the Procurement Specialist by the Team Leader at least one week before the scheduled outreach event.
- The Procurement Specialist will fax the completed exemption forms to the hotel and return to the Team Leader.

Security

- If security is required, the Team Leader will draft a statement of work and identify (3) suggested vendors/sources.
- The Team Leader will draft an email, including a statement of work that details the hours of operation, the location which the security officer will report, requirements for an armed or unarmed officer, applicable certifications and/or licensures, etc.
- All requests must be approved by the Regional Supervisor.
- The Team Leader will forward the approved email including the purchase request and supporting documentation to the Procurement Specialist for processing.
- The purchase request will be viewed by the Procurement Specialist and additional information will be obtained from the Team Leader if necessary.

- The Procurement Specialist will forward the purchase request to the Hazard Mitigation Manager for approval.
- The Hazard Mitigation Manager will forward the purchase request to the Deputy Executive Director for approval.
- The approved purchase request will be forwarded to the Procurement Specialist by the Hazard Mitigation Manager.
- The approved purchase request will be forwarded to OFSS for processing. Planning is
 essential as OFSS requires a 3-4 week minimum lead time for the processing of
 purchase requests.
- The competitive bid process will be conducted by OFSS and the bids received will be forwarded to the Procurement Specialist once the bid closes.
- The Procurement Specialist will forward the bids to the Team Leader for review and comments.
- OFSS will make award to the lowest bidder once approval is provided by the Procurement Specialist.
- OFSS will generate a purchase order for and forward to the selected bidder for signature.
- Once the purchase order has been signed, OFSS will provide the Procurement Specialist with a copy. The purchase order will be filed in a central location.

*Note: See Appendix 5.0D: Procurement- Process Flow and Appendix 5.0C: Procurement- Conference, Meeting & Workshop Price Quote

5.7 Public Information & Community Outreach

Support Purpose

To educate and initiate awareness to homeowners affected by Hurricanes Katrina and/or Rita about HMGP grants to elevate or reconstruct their homes.

Scope

This area functions to spread homeowner awareness of HMGP assistance and encourage active homeowner participation

Objectives

- Homeowner Outreach Events
 - To coordinate and conduct in-person homeowner training classes at homeowner outreach events to educate homeowners about the facets of the HMGP so they can understand and withstand the rigors of the process.

- o Homeowner Educational Materials
 - To write and produce visual teaching materials and written handout materials that will assist the homeowner in understanding the terminology and methodology of the HMGP process.
- Hazard Mitigation Website
 - To write and produce a comprehensive Internet repository of information and documents that will assist homeowners in understanding the terminology and methodology of the HMGP process, and assist them in completing the process of acquiring funding through HMGP.
- Hazard Mitigation Program Correspondence
 - To write, rewrite and edit correspondence in such a way that the language is easily comprehended by the homeowner, thus reducing confusion while increasing both participation and timely response.
- Information Releases
 - To provide accurate and comprehensive information to the communications department at the Louisiana Recovery Authority (LRA) so the LRA can accomplish necessary news releases to the media in a timely and manner and be able to answer follow-up calls from the news media. The HMGP PIO/CEO is not the designated first-tier media spokesperson for the Program
- Program Guidance to Homeowners
 - Explain how the position provides assistance for internal staff to adequately communicate and interpret program policies and/or procedures to homeowners.
- Program Development
 - To identify and take advantage of opportunities that will increase the visibility, recognition and comprehension of the HMGP among potential participants and the public.

Methodology and Accountability

- Writing, rewriting and editing letters, website content, brochures and other documents for clarity and understandability
 - Managers, supervisors, expert program consultants, team leaders and assistant team leaders provide a first written draft.
 - PIO/CEO reviews and edits/rewrites for clarity and comprehension by the average homeowner/applicant, interviewing managers, supervisors, expert program consultants, team leaders and assistant team leaders as needed to garner sufficient data and understanding to accomplish the task.
 - Rewritten material is returned to the appropriate managers for review.
 - If necessary, further rewrites and versions are accomplished until the material receives final approval from management.
 - No writing by the PIO/CEO can be used or disseminated in any form without the
 express consent of Hazard Mitigation Manager (HMM) or his designated person serving
 in a supervisory capacity for the project.

- Producing educational materials
 - Managers, supervisors, expert program consultants, team leaders and assistant team leaders provide information for the content of any materials, from PowerPoint presentations to posters, brochures and handouts.
 - PIO/CEO designs, writes and creates material with an eye to easy comprehension by the average homeowner/applicant. As needed, PIO/CEO interviews managers, supervisors, expert program consultants, team leaders and assistant team leaders to garner sufficient data and understanding to accomplish the task.
 - Material created is submitted for approval to the appropriate managers.
 - If necessary, rewrites and revised versions are accomplished until the material receives final approval from management.
 - No writing by the PIO/CEO can be used or disseminated in any form without the
 express consent of the HMM or his designated person serving in a supervisory capacity
 for the project.

Developing and coordinating website content

1.

- Managers, supervisors, expert program consultants, team leaders and assistant team leaders provide a first written draft of information for publication on the website.
- PIO/CEO reviews and edits/rewrites for clarity and comprehension by the average homeowner/applicant, interviewing managers, supervisors, expert program consultants, team leaders and assistant team leaders as needed to garner sufficient data and understanding to accomplish the task.
- PIO/CEO creates or supervises the creation of supporting graphics to accompany the information.
- Written material and graphics are submitted to the appropriate managers for review.
- If necessary, further rewrites and revisions are accomplished until the material receives final approval from management.
- Once final approval is received, PIO/CEO works with designated webmaster to see that information is published to the Internet site.
- No writing, graphics or creations of the PIO/CEO can be published to the Internet in any form without the express consent of the HMM or his designated person serving in a supervisory capacity for the project.
- Interfacing with website webmaster to assure design and content are up-to-date and optimally functional
 - PIO/CEO is responsible for monitoring of the site and assuring quality control of content.
 - PIO/CEO serves as the point of contact with the website webmaster.
 No substantial changes to the website can be made without the express consent of the HMM or his designated person serving in a supervisory capacity for the project.
- Interface with the Louisiana Recovery Authority (LRA), Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) and the Federal Emergency Management Administration (FEMA)

- PIO/CEO maintains contact with PIO/CEO level personnel at these agencies to stay current on trends, information and issues potentially affecting OCD-DRU and HMGP, and to coordinate messaging and activities inter-agency for optimal benefit to the program and its goals.
- No important information can be shared without the express consent of the HMM or his designated person serving in a supervisory capacity.
- Any information gathered that impacts HMGP must be immediately reported to the HMM or his designated person serving in a supervisory capacity

Coordinating program activities and any media activities with the Louisiana Recovery Authority communications department

- PIO/CEO maintains contact with LRA communications director, press secretary, and
 other communications personnel to stay current on trends, information and issues
 potentially affecting OCD-DRU and HMGP, and to coordinate messaging and activities
 inter-agency for optimal benefit to the program and its goals.
- No important information can be shared without the express consent of the HMM or his designated person serving in a supervisory capacity.
- Any information gathered that impacts HMGP must be immediately reported to the HMM or his designated person serving in a supervisory capacity.
- With the prior approval of the HMM or his designated person serving in a supervisory capacity, PIO/CEO cooperates with the LRA and actively participates in inter-agency activities and events such as news conferences and the writing of news releases or information pieces.
- Ensuring that HMGP constituent services officers, call center staff and other staff
 members who contact homeowners are communicating the same message by
 creating talking points and scripts, as well as coaching staff members on how to
 communicate about the HMPG program to the public
 - Managers, supervisors, expert program consultants, team leaders and assistant team leaders provide materials for review, or provide a first written draft.
 - PIO/CEO reviews and edits/rewrites for clarity and comprehension by the average homeowner/applicant, interviewing managers, supervisors, expert program consultants, team leaders and assistant team leaders as needed to garner sufficient data and understanding to accomplish the task.
 - PIO/CEO reviews and edits/rewrites for consistency of messaging and wording in both form and substance.
 - Rewritten material is returned to the appropriate managers for review.
 - If necessary, further rewrites and versions are accomplished until the material receives final approval from management.
 - No writing by the PIO/CEO can be used or disseminated in any form without the express consent of the HMM or his designated person serving in a supervisory capacity for the project.

Coordinating and conducting homeowner training classes at outreach events

• Managers, supervisors, expert program consultants, team leaders and assistant team leaders provide information and/or written materials for topics that need to be

- addressed in order for homeowners to achieve a good understanding of the HMGP program and to achieve optimal results through participation in the HMGP program.
- PIO/CEO reviews and edits/rewrites for clarity and comprehension by the average homeowner/applicant, interviewing managers, supervisors, expert program consultants, team leaders and assistant team leaders as needed to garner sufficient data and understanding to accomplish the task.
- PIO/CEO creates PowerPoint slide show and handout materials for use at HMGP Outreach events to homeowners.
- Materials created are submitted to appropriate managers for review.
- If necessary, further rewrites and versions are accomplished until the material receives final approval from management.
- No writing or PowerPoint presentation created by the PIO/CEO can be used or disseminated in any form without the express consent of the HMM or his designated person serving in a supervisory capacity for the project.
- PIO/CEO travels to Outreach events and gives presentations to homeowners, coordinated and scheduled through the regional team leader for each event.

Identifying opportunities for promotional speaking engagements to educate the public and public officials about the Program

- PIO/CEO actively seeks to identify opportunities for promotion and understanding of the HMGP program by the public and public officials.
- PIO/CEO reports these opportunities to management.
- With the approval of the HMM or his designated person serving in a supervisory capacity, participation in events and/or speaking engagements by HMGP personnel are booked by the PIO/CEO.
- PIO/CEO follows up and coordinates HMGP participation in these events.
- As needed and approved by the HMM or his designated person serving in a supervisory capacity, PIO/CEO serves as the spokesperson for HMGP at these events.
- PIO/CEO accomplishes a follow-up report to management on the activity and its results.

Serving as spokesperson at promotional speaking engagements and on-campus opportunities to recruit student workers and interns

- With the prior approval and consent of the HMM or his designated person serving in a supervisory capacity, PIO/CEO serves as a spokesperson/recruiter for the HMGP program at approved events.
- PIO/CEO accomplishes a follow-up report to management on the activity and its results

5.8 Training

<u>Purpose</u>

The purpose of this training is to inform and guide all aspects of the OCD/DRU Hazard Mitigation training program to ensure that all of the employees are well prepared and able to carry out the mission of OCD/DRU.

Goals & Objectives

Primary Goal: To effectively and efficiently build the capacity to manage the OCD Hazard Mitigation Grant Program (HMGP) for home Elevation and Reconstruction. Following is a list of objectives that will guide us in obtaining our goal:

Objective 1: Create a Training plan

Objective 2: Develop a Training Curriculum

Objective 3: Develop Training management tools and materials

Objective 4: Execute the Training plan with timelines, training schedules and updates.

In order to ensure the goals and objectives are being met, testing will occur throughout the new employee training process and throughout employment, if applicable.

Oversight

The OCD/DRU has established the Training Officer position within the Special Staff section to execute the training plan.

Roles and Responsibilities

The Hazard Mitigation Training Officer is responsible for:

- Managing the training program
- Training Plan development and maintenance
- Facilitating training courses
- Coordinating office and meeting space for training related activities
- Guide New Hires through the following:
 - Provide the training outline and expectations
 - Provide them reading materials for training and other relevant supplies
 - Provide New Employee Orientation training as needed
 - Explanation of "Defensive Driving" course and how to take the exam.
 - Provide travel procedures and policies to new hires
 - Describe reimbursement policies and procedures

Program Management Tools

- Training records for all personnel will be maintained electronically and by hardcopy.
- Training records will be maintained on a tracking chart and updated as appropriate.
- The Training Officer will provide a weekly report to the Special Staff Supervisor.

Training Plan Maintenance

The Mitigation Training Plan will be updated quarterly. The plan will reflect any recent update that may be required by state rules, guidelines and/or polices.

Note: See Appendix T: Training Curriculum and Appendix T2: Orientation Overview/Training Process Flow

6.0 ROLES & RESPONSIBILITIES OF AGENCY PERSONNEL

GOHSEP Personnel:

- State Hazard Mitigation Officer (SHMO) The State Hazard Mitigation Officer is responsible
 for managing the State's Hazard Mitigation Grant Program, coordinating the mitigation and
 planning staff, and serving as FEMA's mitigation liaison.
- State Level Grant Chief (SLGC) –The State Level Grant Chief supervises the State Level Grants Teams responsible for managing the OCD DRU HM 1603 and 1607 elevation/pilot reconstruction applications. They will work with OCD to ensure that all the necessary State requirements are met.

FEMA Personnel:

• FEMA Lead HMGP Specialist for the Office of Community Development (OCD) Project – The OCD Lead will serve as the lead for the OCD DRU HM project. They will work with OCD and GOHSEP to ensure that all the necessary Federal requirements are being met.

OCD DRU HM Personnel:

Note: The information contained within this section is not meant to be all encompassing

- Hazard Mitigation Manager (HMM) The Hazard Mitigation Manager is responsible for overseeing the OCD DRU Hazard Mitigation Grant Program and ensuring that all Federal, State and local requirements are met. The HMM will serve as the liaison between agencies and keep the OCD DRU Deputy Director updated in all aspects of the program.
- Assistant Hazard Mitigation Manager (AHMM) The Assistant Hazard Mitigation Manager is responsible for assisting the Hazard Mitigation Manager in managing the OCD DRU HMGP and serving as the HMM in his/her absence. The AHMM will serve as the liaison between the Regional Supervisor, the Special Staff Supervisor, IMM Supervisor and the HMM.
- Administrative Assistant (AA) The Administrative Assistant will assist the HMM. The AA will also be responsible for the monitoring the file room, scheduling the conference rooms, and maintaining the Office Calendar.
- Regional Supervisor (RS) The Regional Supervisor is responsible for supervising the Assistant Regional Supervisor and the oversight of all aspects of Regional programmatic activity. The RS serves as the liaison between the AHMM and the Regional Staff.
- Assistant Regional Supervisor (ARS) The Assistant Regional Supervisor is responsible for assisting the RS in supervising the three Regional Team Leaders, the Duplication of Benefits Specialist, QA/QC Specialist, Appeals Specialists and the Global Match Specialist. The ARS will serve as the RS in his/her absence.
- Duplication of Benefits/Global Match Analyst (DOB/GMA) The Duplication of Benefits Analyst will work with FEMA and GOHSEP to ensure that the homeowners are not receiving funding from other sources that would be considered duplication of benefits or duplication of programs. DOB checks will be performed once the homeowner is placed into an application and when the project is ready for final inspection. The Global Match Analyst will monitor the amount of global match/overmatch available in both the 1603 application and the 1607

- application. The OCD Global Match Specialist will work with the GOHSEP Global Match Specialist to make sure that this is monitored at all times.
- Appeals Specialists (AS1/AS2) The Appeals Specialists provide applicants an opportunity to dispute program determinations. Appeals specialists review applicant formal appeals and provide appeal determinations in accordance with HMGP policy.
- Quality Assurance/Quality Control Specialist (QA/QC) The QA/QC Specialist ensures applicant determinations are produced in accordance with HMGP policies and procedures. The QA/QC Specialist is responsible for reviewing applicant files to ensure a quality result, reporting basic quality control metrics and maintaining updated process checklists.
- Regional Team Leaders (TLs) The Regional Team Leaders will be responsible for oversight of their respective region.
 - Region I- Orleans Parish
 - Region II- Jefferson Parish
 - Region III-Other Parishes

Each team will consist of one Assistant Team Lead (ATL) and multiple Mitigation Analysts. The TL will serve as the liaison between their Analysts and both the ARS and the RS.

- Assistant Regional Team Leaders (ATLs) There will be one Assistant Regional Team
 Leader assigned to each Region. Important components of their job include, but are not
 limited to, performing QA/QC checks when necessary and serving as the TLs when they are
 out of the office.
- Mitigation Analysts (MAs) The Mitigation Analysts will be responsible for working with the homeowners and internally managing both the 1603 and 1607 Elevation/Pilot Reconstruction Applications. Each Mitigation Specialist will be assigned to a specific homeowner for the duration of the grant.
- Special Staff Supervisor (SSS) The Special Staff Supervisor is responsible for supervising
 the Special Staff. The SSS will serve as the liaison between the Special Staff and the ARS
 and the RS. Additionally, the SSS serves as the liaison between Special Staff and the AHMM.
- Individual Mitigation Measures Supervisor (IMMS) -- Supervise staff personnel of the IMM department; assess and monitor operations and workloads, administrative and support systems, technical systems and internal reporting relationships.
- Contract Officer (CO) The Contract Officer will review outgoing Requests for Proposals and both internal and external contracts.
- Inspection Team Monitor (ITM) The Inspection Team Monitor will serve as the liaison between the Inspection Team Contractors and the SSS. This person is responsible for oversight of all deliverables associated with said contract.
- Internet Technology/Reports Team This team is responsible for troubleshooting all IT issues and reviewing all equipment purchase orders. The team is also in charge of troubleshooting and maintaining the programs used to manage and track the applications and homeowner information. Additionally, the team is responsible for production of regular reports for the HM section.
- Public Information Officer (PIO)/Outreach Coordinator The Public Information Officer/Outreach Coordinator is responsible for arranging and coordinating all outreach events through the use of program and media activities with the LRA communications department.
- Procurement Specialist The Procurement Specialist is responsible for ensuring that all supplies and equipment are purchased correctly. This includes office supplies, fleet vehicles, computers, phones, PDA's, etc.

- Call Intake Specialist/ Correspondence Tracker The Call Intake Specialist/ Correspondence Tracker will field all incoming calls for HM. They will also keep track of the mail, the Reader file, and the correspondence tracker.
- Training Specialist The Training Specialist will ensure that all HM employees, both incoming and current, are up to date with all necessary training.
- Internal Audit Specialist (IA) The Internal Audit Specialist will be responsible for performing internal control assessments, operational & compliance audits, and identifying potential fraud schemes for existing and proposed business processes within HMGP. The IA will also conduct investigations relative to employee inquiries to the Ethics Hotline and/or Internal Compliance Inquiry Inbox.
- Finance Officer The Finance Officer's responsibilities include, but are not limited to, reviewing payments and submitting Requests for Payment.
- Appeals Specialists The Appeals Specialists will review the incoming appeal letters from homeowners and handle these appeals on a case by case basis.

7.0 ACRONYMS

- ABFE –Advisory Base Flood Elevation
- AHMM Assistant Hazard Mitigation Manager
- CCM –Call Center Monitor
- CO –Contract Officer
- DOB Duplication of Benefits
- DRS –Disaster Recovery Specialist
- DRU –Disaster Recovery Unit
- EHP –Environmental and Historic Preservation
- FEMA Federal Emergency Management Agency
- GAR –Governor's Authorized Representative
- GOHSEP –Governor's Office of Homeland Security and Emergency Preparedness
- HMGP –Hazard Mitigation Grant Program
- HMM Hazard Mitigation Manager
- ICF –ICF International (OCD Contractor)
- ITM Inspection Team Monitor
- MA-Mitigation Analyst
- NEPA –National Environmental Protection Agency
- NESHPA –National Emissions Standards for Hazardous Air Pollutants
- OCD Office of Community Development
- RS Regional Supervisor
- RTL Regional Team Lead
- SCO –State Coordinating Officer
- SHMO State Hazard Mitigation Officer
- SLGC- State Level Grant Chief
- SOP –Standard Operating Procedure
- QA/QC –Quality Assurance/Quality Control
- VPA Voluntary Participation Agreement

8.0 Appendices & Exhibits – Program Flow Charts and Process Forms

- Appendix 3.0: VPA
- Appendix 3.1: Self Certification
- Appendix 4.1: HMGP Project Folder Process Flow Chart
- Appendix 4.9A: Appeals Process Flow
- Appendix 4.9B: Appeals- Ineligibility Letter
- Appendix 4.9C: Appeals Directory of Standard Responses- Ineligibility Letter/Appeal Of Calculations
- Appendix 4.9D: Appeals- Letter of Appeal Acceptance (Pending Approval)
- Appendix 4.9E: Appeals- Appeals Research Form (Pending Approval)
- Appendix 4.9F: Appeals Determination Summary
- Appendix 4.9H: Appeals Research- SharePoint Tool
- Appendix 4.4: HMGP Homeowner Program Incoming Call Flow- Yes Response
- Appendix 4.4A: HMGP Homeowner Program Incoming Call Flow- No Response
- Appendix RT: Response Team Incoming Call Flow
- Appendix 5.0A: Procurement Sample DOA Justification Form
- Appendix 5.0B: Procurement Sample Email Purchase Request
- Appendix 5.0C: Procurement Conference, Meeting, & Workshop Price Quote
- Appendix 5.0D: Procurement Process Flow Chart
- Appendix 6.0: QA/QC Checklist Project Folder Review: New item
- Appendix 6.1: QA/QC Ineligibility Determination Review Letter
- Appendix M: Manager's Report
- Exhibit 1: Draft Homeowner Workshop Letter
- Exhibit 2: FEMA Clearance Letter
- Exhibit 3: WIP Collection Form
- Exhibit 5: Conditional Award Letter

- Exhibit GM: Global Match Example
- Exhibit 6: No Award Letter
- Exhibit 7: Midpoint Payment Cover Sheet/ Final Payment Cover Sheet
- Exhibit 8: Inspection Form
- Exhibit 9: Project Folder Checklists
- Exhibit 10: HMGP Payment Package Desk Reference
- Exhibit 11: Project Folder Stacking Order
- Appendix T: Training Curriculum
- Appendix T2: Orientation Overview & Training Processing Flow
- Appendix IT: Information Technology- Safeguarding Laptops
- Appendix R: OCD-GOHSEP HMGP Integration Team Process Group Flow Chart\
- Appendix R1: OCD-GOHSEP HMGP Integration Team Determination Group Flow Chart
- Appendix V: Verification of Identity Form
- Appendix Close: Closeout Worksheets
- Appendix F: Organizational Chart

Appendix 3.0: VPA [Elevation & Reconstruction]

Road Home Applicant No.:					
HMGP AWARD FORM Complete and return this form by mail to: Elevation Programs PO Box 5098 Baton Rouge, LA 70821-5098					
SECTION 1: ELEVATION ELECTION (check one) ☐ I have sold the home that was damaged during the storm and ☐ I am not interested in receiving an HMGP Award IF YOU CHECKED EITHER OF THE ABOVE: STOP,	·		· ·		
Applicant or Co-applicant Name Home Phone: ()	Applicant or Co-Applicant signa Cell Phone: ()	ture	Date		
Are you signing as an agent with the Power of Attorney If signing as agent with Power of Attorney (POA):		YES	NO		
Agent name (person w/ POA)	Agent signature	-	Date		
☐ I AM INTERESTED IN RECEIVING A HMGP AWASECTION 2 & 3	ARD. IF YOU CHECK THE	вох, у	OU NEED TO COMPLETE		
SECTION 2: Complete this section only if you are interested. 1. The status of elevation work to my home is: (Select the or As of March 16, 2008, I have completed or will have in my community. As of March 16, 2008, I will have started, but not cocommunity. I do not plan to start elevation of my home to meet the start by 2. My home to be elevated was initially constructed: (mark all During or before 1964 After 1964 My damaged home from the time of the storm has be Don't know	the answer that most close completed elevation of my home to make the latest elevation standards in that apply)	e to meet to meet the	he latest elevation latest elevation standards	standards in my expect to	
	ry Participation Agreementement of Compliance (date). I/we are Katrina and/or Rita at the follow Parish we understand that the elevation I/we may drop out of the progran	e the owne ving munici	(the "Property"). ZIP perty with an HMGP Award is vo		
Applicant or Co-Applicant Name Are you signing as an agent with the Power of Attorney for an application of the signing as agent with Power of Attorney (POA):	Applicant or Co-Applicant signal oplicant?	ature YES	Date NO		
Agent name (person w/ POA)	Agent signature		Date		
Road Home Applicant Number: 0 6 H H					

VPA

HMGP VOLUNTARY PARTICIPATION AGREEMENT

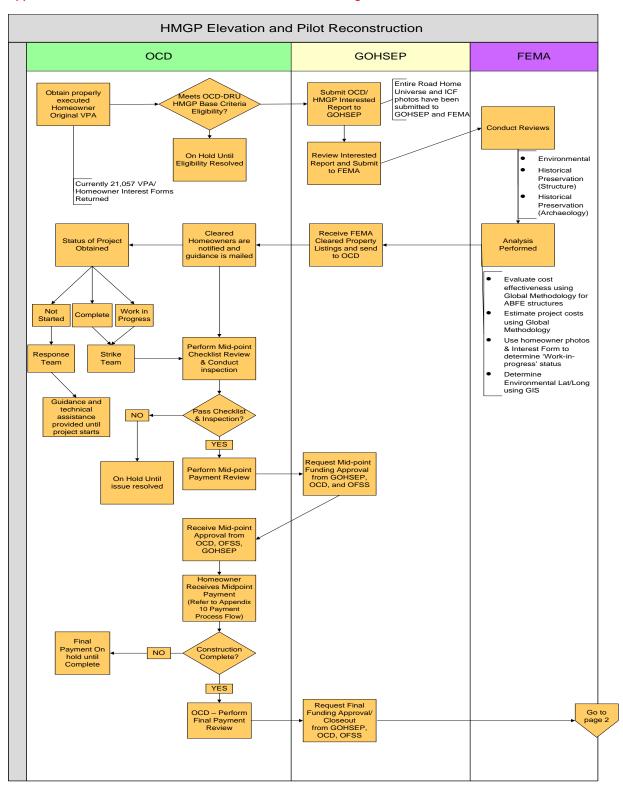
Complete and return this form by mail to: OCD-DRU HMGP

OCD-DRU HMGP PO Box 5098 Baton Rouge LA 70821-5098

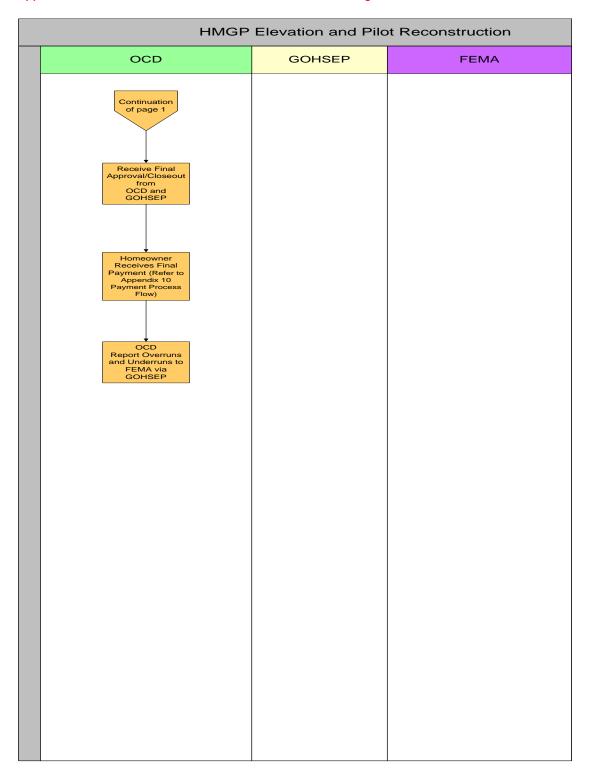
THIS AGREEMENT is made and en between the Louisiana Office of Con as "Sub-grantee," by its authorized a	nmunity Develop	oment Disaster Recovery I	
The parties agree as follows:		hereinafter referred	d to as "Property Owner."
1. The Property Owner affirms that h	ne/she/they is/ar	e the owner/owners of pro	perty located at:
also agrees that he/she/they was/we funding is authorized.		fter referred to as "propert owner(s) on or before the	
2. Sub-grantee has notified the prop this Hazard Mitigation Grant Program understands this is a voluntary progr	n (HMGP) Reco		
3. Sub-grantee has notified property exceed 110% of the structure on or be			
4. Sub-grantee has notified property is up to \$100,000.	owner the max	imum Federal contribution	toward construction costs
5. Sub-grantee has notified property deed notice will be posted for this proceed. Sub-grantee affirms that it has propreceding paragraphs.	operty.		
Applicant or Co-Applicant NAME	Applicant or Co-	Applicant SIGNATURE	Date
Applicant or Co-Applicant NAME	Applicant or Co-	Applicant SIGNATURE	Date
Sub-grantee's Authorized Agent NAME	Sub-grantee's A	uthorized Agent SIGNATURE	Date
Are you signing as an agent with Po If signing as agent with Power of Atte		(POA) for an applicant? Y	ES NO
Agent NAME (Person w/ POA) Age	ent SIGNATURI	≣	 Date

dix 3.1: Self Certi	fication				
		ove			
Sel	lf Certification Affid	avit for Ownership	and Occupancy		
In order to verify tha	at you are the homeo	owner for your prop	erty, please fill ou	t the	
		بات براد	rty		
ta	te	•			
TAR ETTER		-			
	9 , 12 1	4			
		115			

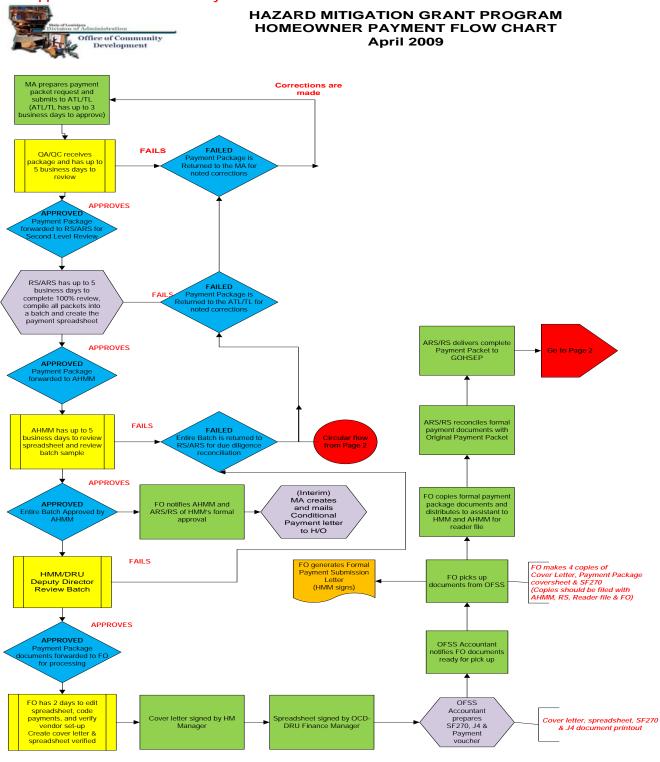
Appendix 4.0: HMGP Elevation and Pilot Reconstruction Program Flowchart



Appendix 4.0: HMGP Elevation and Pilot Reconstruction Program Flowchart

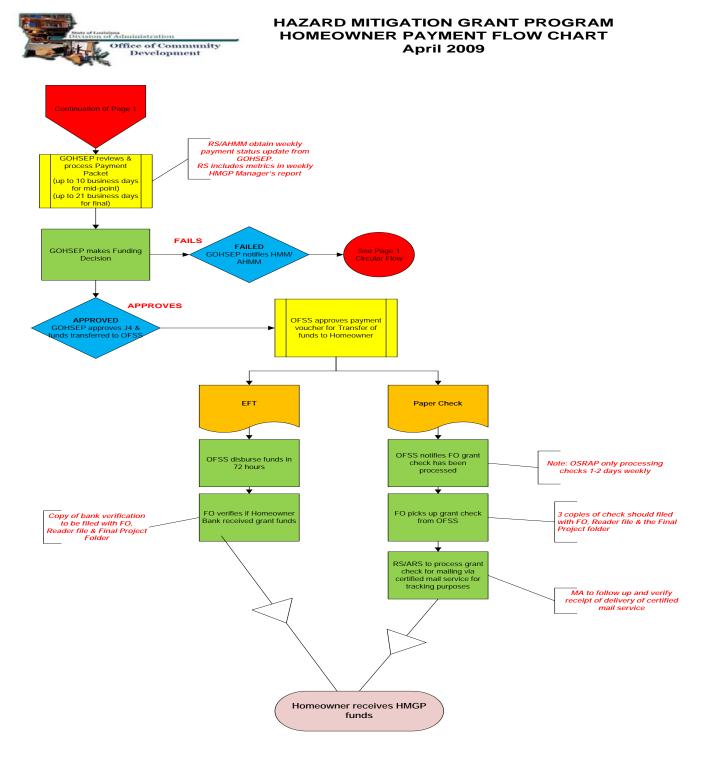


Appendix 4.2: Homeowner Payment Flow Chart



Page 1

Appendix 4.2: Homeowner Payment Flow Chart



Page 2

Appendix 4.9A: Appeals Process Flow

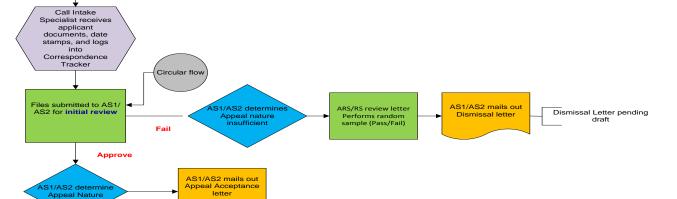
HMGP APPEALS WORKFLOW April 2009 MA determines applicant INELIGIBLE for HMGP File is forwarded to ATL/TL for CONCURRENCE Fails Fails File forwarded back to TL for re-assessment CONCURRENCE Approves The applicant has **60 days** from the date of the Ineligibility letter to submit an Appeal

Applicant does not respond to letter within 60 days



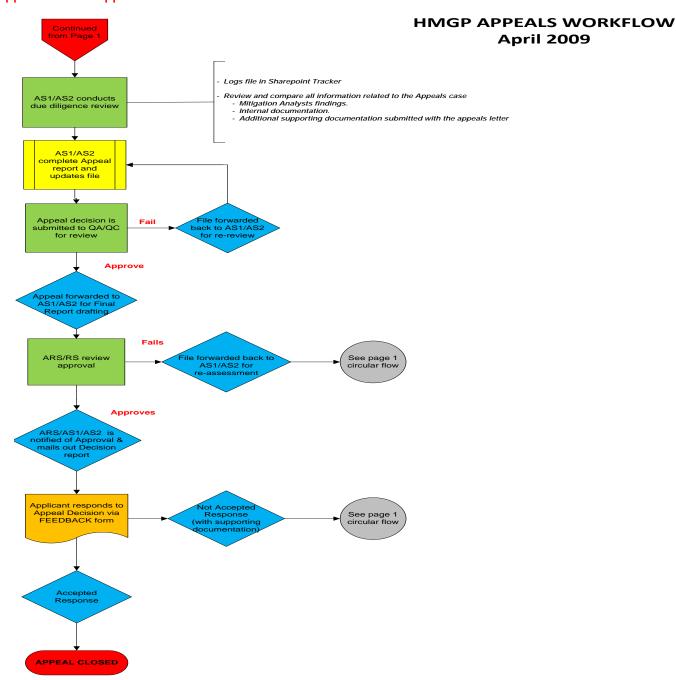
AS1/AS2 determin Appeal Nature Sufficient

See Page 2



Page 1

Appendix 4.9A: Appeals Process Flow



April 2009



BOBBY JINDAL GOVERNOR ANGELE DAVIS
COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development Disaster Recovery Unit

February 3, 2009

Jane Doe 123 Sesame St. New Orleans, LA 90210 Road Home ID: 06HH000000

SUBJECT: Ineligibility for OCD-DRU Hazard Mitigation Grant

Dear Ms. Doe:

The Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP) has reviewed your application for assistance for the property located at Louisiana 90210. You requested assistance for the reconstruction or elevation of your home.

<Place responses here – the response may be altered to fit unique situations or cases. ATTACHMENT ONE will only be included with cases that are considered TPC ineligible. Delete ATTACHEMNT ONE if the TPC is not in question.>

If you disagree with the result of your evaluation, you may request to have your case reviewed by the Hazard Mitigation Appeals Section.

- $\hfill \square$ I accept the Hazard Mitigation Grant Program decision.
- $\hfill \square$ I do not accept the Hazard Mitigation Grant Program decision and request that my file be reviewed by the Appeals Section.

Applicant's Signature	Date	Co-Applicant's Signature	Date	

Page 2 - Ineligibility for OCD-DRU Hazard Mitigation Grant

If you do not accept the Hazard Mitigation Grant Program decision, please give a detailed description of your appeal. Attach any new or additional documentation that you would like to have considered in your appeal.				

This form and any supporting documents <u>must be returned within sixty (60) days</u> from the date of this ineligibility letter. Mail to:

Office of Community Development
Disaster Recovery Unit
Hazard Mitigation Grant Program
Attn: Appeals Department
P.O. Box 5098
Baton Rouge, La. 70821-5098

Please be sure to make a copy of this signed form for your records before returning.

If you have questions in regard to your file or the Appeals process, please contact your OCD-DRU HMGP Mitigation Analyst, <a href="mailto:slight-self-style-

Sincerely,

William Haygood

Office of Community Development

Hazard Mitigation Manager

Appendix 4.9C: Appeals Directory of Standard Responses- Ineligibility Letter/Appeals of Calculations Directory of Standard Responses – Ineligibility Letter

FEMA Clearance:

After review of your supporting documentation/file, it has been determined that you commenced construction of your structure on ______. This date was before your property had been assessed by FEMA to evaluate its environmental and historic preservation impact. The OCD-DRU Hazard Mitigation Grant Program requirements state that the elevated/reconstructed property must be cleared for environmental and historical compliance prior to beginning construction. It has been determined that you are ineligible for the Hazard Mitigation Grant Award.

Square Footage:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. The square footage of your reconstructed property is more than ten percent greater than the square footage of your original home. FEMA requirements for HMGP state that the square footage of the reconstructed structure can not be more than ten percent greater than the square footage of the original structure.

Eligible Road Home Applicant:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. In order to qualify for an HMGP Award you must first be eligible for The Road Home Program. Our records show that you were not eligible for the Road Home program.

Selected Option 1:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. Our records show that you did not choose Option 1 under *The Road Home Program*. The Hazard Mitigation Grant Program requires that an applicant must have elected *Option 1: Stay in Your Home* when taking part in *The Road Home Program* to be eligible for HMGP assistance.

Ownership of Home at the time of the event (Reconstruction Only): (Note: Reconstruction guidelines state that if ownership is the result of death or incapacity of the homeowner then the applicant may be eligible.)

Upon the examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. Our records show you were not the owner of the home at the time of Hurricane Katrina or Rita. The Hazard Mitigation Grant Program requires that an applicant must have been the owner at the time of the event to be eligible for participation in this program.

Current Ownership of Home:

We have reviewed our records and/or documentation you may have provided to prove ownership of your home. We regret that our records and those that you may have provided do not confirm ownership. The OCD-DRU HMGP requires that an applicant must still own the home that was eligible for The Road Home benefits. Therefore, it has been determined that you are ineligible for the HMGP Award.

<u>Traditional Program: (NOTE: This is only used if we have confirmed with GOHSEP that the homeowner did receive HMGP funds from the Parish or local entity. Homeowners who are listed in both projects are mailed a separate DOB letter asking them to choose which program they'd like to participate in)</u>

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the Hazard Mitigation Grant Award. Our records indicate that you are a recipient of the traditional Hazard Mitigation Grant Program funding provided by your Parish or local jurisdiction. Applicants can be a part of either the OCD-DRU HMGP Program or the Traditional HMGP Program, but not both.

No award: (Note: Attachment 1 should be included with this letter and can be found at the end of this document---please develop a standard Elevation Attachment 1 - also please note the highlights and comments in red)

At this time it appears you do not qualify for OCD-DRU HMGP assistance. Our review of your file indicates that the compensation you received from other programs (e.g., ICC, Flood and/or Hazard Insurance, Road Home Grants, Road Home Elevation Incentive, and/or FEMA-Home Repair) is more than your stated Total Project Cost.

The formula we used to calculate your award total is:

\$225,645.27 – Total Project Cost - <u>\$332,890.00 – Total Deductions</u> (\$107,244.73)

Please see Attachment 1 for details regarding your award calculation.

Leveling of Home:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. To be eligible for an award, the OCD-DRU HMGP requires that your home be elevated to the Base Flood Elevation (BFE) or Advisory Base Flood Elevation (ABFE), whichever is higher. Our records show that you have restored your foundation to its original position by leveling your home. In order to qualify for an HMGP Award, you must have elevated your home, which reduces the risk of future flooding. It has been determined that you are ineligible for the HMGP Award. If you are considering elevating your home as well, please contact us.

Condominium(s):

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. Our records describe your property as a condominium. Program guidelines state that condominiums are not eligible for the OCD-DRU Hazard Mitigation Grant Program.

Townhomes and Duplexes:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. Our records describe your property as a townhome/duplex. The Hazard Mitigation Grant Program requires that all owners of adjoining units must agree to elevate the structure in order to be eligible for the program.

<u>Did not elevate to the correct ABFE/BFE (whichever is highest)</u>: Note: Your response will differ based on which height requirement was NOT met.

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. To be eligible for an award, the OCD-DRU HMGP requires that your home be elevated to the Base Flood Elevation (BFE) or Advisory Base Flood Elevation (ABFE), whichever is higher. Our records show that you have not met the BFE elevation height mandated by your local community/<the FEMA designated ABFE elevation height>.

Compliance with NFIP Regulations:

Upon examination of your supporting documentation/file, it has been determined that you are ineligible for the OCD-DRU Hazard Mitigation Grant Award. The National Flood Insurance Program (NFIP) regulations state that the area below an elevated building can be used only for building access, parking, and storage. These areas must not be finished or used for recreational or habitable purposes. No mechanical, electrical, or plumbing equipment is to be installed below the Base Flood Elevation (BFE).

Attachment 1: Factors Used to Calculate Benefits Reconstruction

Please review this attachment which provides information about the factors used to calculate your HMGP award. These factors are based on information you provided and information provided by other sources.

The HMGP award is based on the actual amount a homeowner has paid to elevate or reconstruct their home. This is determined by documentation provided from the homeowner (such as cancelled checks, paid invoices, etc.).

Because FEMA will not allow the reimbursement of costs already covered by other sources, any insurance payments, ICC awards, Road Home Program grants are considered a duplication of benefits. These are deducted from your Total Project Cost.

For example, Mr. and Mrs. Jones have spent \$75,000 to elevate their home. If they have already received \$30,000 from ICC and \$30,000 from Road Home Elevation Incentive then they would be eligible for \$15,000 for a HMGP award.

HMPG Reconstruction Award Calculation

Total Project Cost (TPC)*	\$225,645.2 7
- Road Home Compensation Grant	-\$119,741.49
- Road Home Elevation Incentive**	-\$30,000.00
- Hazard Insurance Proceeds	-\$7,148.51
- Flood Insurance Proceeds	-\$176,000.00
- FEMA Payments for Home Repair	- \$0
- ICC Payments***	-\$0
Total Potential HMGP Award	\$0

^{*} Total Project Cost is determined by reviewing the receipts and paid invoices provided by the homeowner. TPC is calculated by totaling the costs associated with the elevation/reconstruction project that are eligible for reimbursement under the HMGP guidelines.

^{**} You may not have received your Elevation Incentive from the Road Home Program at this time. The information provided to us shows that you may be eligible for this award. Please contact the Road Home Program at (888)762-3252 for additional information.

^{*}This should only go in files where no record of ICC exists.*

^{***} We have not received a record of your ICC funds disbursement. Therefore, a dollar amount is not available for this portion of the calculation. ICC funds are considered a duplication of benefits, and would normally be calculated to determine the exact dollar amount of a potential payment. In this case, whether you received ICC funds or not does not currently affect your eligibility for a payment from the OCD Hazard Mitigation Program.



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development

Disaster Recovery Unit

<date></date>
<applicant name=""> <mailing address=""> <city, state,="" zip=""></city,></mailing></applicant>
Road Home ID: O6HH<>
SUBJECT: Your OCD-DRU HMGP Appeal

Dear < Applicant's Name>:

The Office of Community Development Disaster Recovery Unit (OCD-DRU) has received your appeal of the decision reached regarding your participation in the OCD-DRU Hazard Mitigation Grant Program (HMGP). The Appeals Division will carefully review your case and make a decision within sixty (60) days of the date of this letter. You will be notified of the decision by mail. Once you receive a decision from the Appeals Office you will have thirty (30) days to provide feedback. After that time, you will no longer be able to submit an appeal or any additional supporting documentation to the OCD-DRU Hazard Mitigation Grant Program.

If further documentation is needed to make a determination, you will be contacted by the Appeals Division. Supporting documentation can be mailed to the address provided below. Should you have any additional information regarding your appeal, you may contact your Mitigation Analyst <MA name> at <MA contact number>.

Thank you for your time and patience during the appeals process.

Sincerely,

Appeals Division OCD-DRU Hazard Mitigation Grant Program P.O. Box 5098 Baton Rouge, Louisiana 70821-5098



APPEAL DETERMINATION

06HH000000

<Applicant Name>
<Co-Applicant Name>
<Damaged Address>
<City, State, Zip Code>

Summary of Appeal Determination

Applicant ID:	06HH000000			
Acceptance Date	<date>, 200</date>	99		
Mitigation Activity	< Elevation	or Reconstruction>		
Determination Date	<date>, 200</date>	9		
Feedbac	k Deadline:	<date>, 2009</date>		
Reason	eason for Appeal: Elevation Requirements		ABFE Location	
	Road Home Eligibility		Qualifying TPC	
	Road Home Selection		FEMA Clearance	
			Square Footage (Reconstruction)	
		Traditional HMGP Participation	Other:	

The OCD-DRU *Hazard Mitigation Grant Program* Appeals Division has reviewed the file related to this application and compared the calculations and relevant documents to the current policies set forth by the program. The HMGP Appeals decision will be based solely on the particulars of the case, confirmed by the information related to your Appeals case.

Application Informed Reviewed:

- Additional and current documents available from the homeowner add what reason for appeal the additional documents reference.
- Additional and current documents available from the homeowner add what reason for appeal the additional documents reference.
- Additional and current documents available from the homeowner add what reason for appeal the additional documents reference.

The reasons why certain appeal issues were <approved or denied> are as follows:

- Reason this should be a clear, succinct statement customized for the applicant and referencing policy. It
 explains what you found and state whether the appeal was supported or denied. If multiple reasons were
 appealed indicate whether each reason was approved or denied.
- Reason this should be a clear, succinct statement customized for the applicant and referencing policy. It explains what you found and state whether the appeal was supported or denied. If multiple reasons were appealed indicate whether each reason was approved or denied.

Additional issues presented by the applicant that are not eligible for appeal were:

• Delete this section if no unacceptable issues were presented.

The applicant <did or did not> submit supplementary documents to review during the course of the Appeals review.

The appeal has been <approved/denied> and a revised grant amount <has/has not> been approved. Please note that the award calculations can be reviewed post-determination. An additional review can increase or decrease the amount of your award.

Elevation Requirements

The OCD-DRU *Hazard Mitigation Grant Program* requires that applicant's mitigate their home by either elevating or reconstructing. The program guidelines state that an applicant must raise their mitigated structure to the lowest floor so that they are in compliance with the Base Flood Elevation (BFE), the Advisory Base Flood Elevations (ABFE), or whichever is higher. If an ABFE does not exist, the applicant must meet the adopted Base Flood Elevation (BFE).

Information Reviewed:

Original Elevation Certificate: <Date> (Information from the elevation certificate should be placed here.)

- SECTION A: PROPERTY INFORMATION
 - o A1. Building Owner's Name:
 - o A2. Building Street Address:
 - o A7. Building Diagram Number:
- SECTION C: BUILDING ELEVATION INFORMATION
 - o A. Top of Bottom Floor: (ft.)
 - o B. Top of the Next Floor: (ft.)

Final Elevation Certificate: < Date> (Information from the elevation certificate should be placed here.)

- SECTION A: PROPERTY INFORMATION
 - o A1. Building Owner's Name:
 - o A2. Building Street Address:
 - o A7. Building Diagram Number:
- SECTION C: BUILDING ELEVATION INFORMATION
 - o A. Top of Bottom Floor: (ft.)
 - o B. Top of the Next Floor: (ft.)

Road Home Eligibility and Road Home Option Selection

According to *Hazard Mitigation Grant Program* requirements a homeowner must first be an eligible participant in the *Road Home* program and chosen Option 1: Stay in Home in order to qualify for an HMGP award.

Information Reviewed:

- Road Home Closing Documents and /or Covenant:
 - o Closing Date:
 - o Applicant Identification Number:
 - o Applicant and Co-Applicant Name(s):
 - o Damaged Address:
 - o Option Selection:
- eGRANTS:
 - o Applicant Identification Number:
 - o Applicant and Co-Applicant Name(s):
 - o Damaged Address:
 - o Option Selection:

Ownership of Home

In order to be considered for a *Hazard Mitigation Grant Program* award a homeowner must still own the home that was eligible for *Road Home* benefits. *The Road Home*'s criteria states that all applicants must have owned

and occupied their damaged property as their main residence at the time of Hurricanes Katrina (August 29,
2005) or Rita (September 24, 2005). You are not eligible to receive funds under either program if you have sold
the home since receiving you Road Home grant.

т			D	
ı	ntorm	ation	RAV	iewed:

nforma	<u>ation Kev</u>	<u>viewed:</u>
•	Road H	Iome Title Search:
	0	Applicant Name:
	0	File Number:
	0	Property Address:
	0	All individuals and/or entities with ownership interest in the subject property:
		1.
		2.
	0	Per <i>The Road Home</i> definition: Any one of the above applicants shows in the records as being
		any one of the owners of the above property as of August 28, 2005 thru this present date (Date
		of Title Search).
		Yes
		□ No
Road H	<i>lome</i> App	proved Grant Screen (Tax Match):

R

Tax Match Received:	Received Date:

Traditional HMGP Participation

Hazard Mitigation Grant Program funding is only available to applicants who have not participated in the Traditional *Hazard Mitigation Grant Program* administered by their parish. An applicant can only be eligible for the State Hazard Mitigation Grant Program or the Traditional Hazard Mitigation Grant Program. Participating in both programs is not allowed.

<u>Information Reviewed:</u>

List checks, printouts or any documentation that proves that the applicant participated in a Traditional HMGP.

The Hazard Mitigation Grant Program reimburses applicants up to \$100,000.00 per household. Homeowner's are reimbursed for eligible expenses that are suitable and essential to the rebuilding process. The HMGP Award is for the expenses that were not covered by other programs or companies. A duplication of benefits is not allowed.

Information Reviewed:

 $Information\ Source(s)$

Elevation:

Calculations Appealed		Current Calculations		
Total Project Cost (TPC)	\$0.00	Total Project Cost (TPC)	\$0.00	
(Road Home Elevation	(\$0.00)	(Road Home Elevation	(\$0.00)	
Incentive Award)		Incentive Award)	(\$0.00)	
(ICC Funds)	(\$0.00)	(ICC Funds)	(\$0.00)	
Total HMGP Potential	\$0.00	Total Revised HMGP	\$0.00	
Award	\$0.00	Potential Award		
Total Revised HMGP Potential Award			\$0.00	
(Minus Total HMGP Potential Award)			(\$0.00)	
Current Amount Approved for HMGP Potential Award		\$0.00		
Potential Mid-point Payment			\$0.00	

Information Reviewed:

Information Source(s)

Reconstruction:

Calculations Appealed		Current Calculations		
Total Project Cost (TPC)	\$0.00	Total Project Cost (TPC)	\$0.00	
(Hazard Insurance)	(\$0.00)	(Hazard Insurance)	(\$0.00)	
(Flood Insurance)	(\$0.00)	(Flood Insurance)	(\$0.00)	
(FEMA)	(\$0.00)	(FEMA)	(\$0.00)	
(Road Home Elevation	(¢0,00)	(Road Home Elevation	(¢0.00\	
Incentive Award)	(\$0.00)	Incentive Award)	(\$0.00)	
(Road Home	(\$0.00)	(Road Home	(\$0.00)	
Compensation Grant)	(\$0.00)	Compensation Grant)	(\$0.00)	
(Road Home Additional	(\$0.00)	(Road Home Additional	(\$0.00)	
Compensation Grant)	(\$0.00)	Compensation Grant)	(\$0.00)	
(ICC Funds)	(\$0.00)	(ICC Funds)	(\$0.00)	
Total HMGP Potential	\$0.00	Total Revised HMGP	\$0.00	
Award	Φ0.00	Potential Award	\$0.00	
Total Revised HMGP Potential Award		\$0.00		
(Minus Total HMGP Potential Award)		(\$0.00)		
Current Amount Approved for HMGP Potential Award		\$0.00		
Potential Mid-point Payment		\$0.00		

FEMA Clearance

The OCD-DRU *Hazard Mitigation Grant Program* requirements state that <elevated/reconstructed> property must be cleared for environmental and historical compliance prior to beginning construction. Homeowners who began their work after March 16, 2008 ("*Work in Progress" cut-off date*) that have not been cleared to proceed are only eligible for HMGP funds if their property qualifies for construction per FEMA'S Environmental and Historical review. This review has to make evident that no negative impacts exist or that the homeowner is willing to also mitigate environmental and/or environmental impacts. If the review fails to validate any of this information the homeowner is ineligible for the Hazard Mitigation Grant Program.

Information Reviewed:

Work In Progress:

- Work in Progress Form: Supporting Documents
 - o Indicate documentation submitted to verify work was initiated between the dates of the events and March 16.2008:
 - Document One: List company and company information.
 - Document Two: List company and company information.
 - Indicate documentation submitted to confirm the structure of facility was damaged from the event:
 - Document One: List company and company information.
 - Document Two: List company and company information.
 - o Indicate documentation submitted to confirm expenditures:
 - Document One: List company and company information.
 - Document Two: List company and company information.

FEMA Clearance:

- Date cleared by FEMA: MM/DD/YYYY
- Date work was initiated: MM/DD/YYYY
 - o Supporting Documents: Documents verifying the dates that work was initiated.
 - Document 1: List company and company information.
 - Document 2: List company and company information.

Square Footage

Mitigation reconstruction projects funded under the Hazard Mitigation Grant projects must be feasible and effective at mitigating the hazards for which the project was designed. When determining feasibility the structure's foundation will be addressed. The Hazard Mitigation Program Reconstruction Grant activities must result only in an approximation of original square footage of the new structure. The square footage of all resulting structures shall be no more than ten percent (110%) than that of the original square footage. If the square footage of the rebuilt structure exceeds ten percent (110%) of the previous structure, the homeowner does not qualify for an HMGP reconstruction grant.

Original Square Footage: Value and Supporting Document(s) New Square Footage: Value and Supporting Document(s)

New Square Footage (sq.ft.) ÷ Original Square Footage (sq.ft.) × 100 = %

Other - List Reason

Place a short statement here that explains HMGP regulations that address that reason for appeal.

<u>Information Reviewed:</u> List the documents and information that were reviewed here.

FINAL DETERMINATION

The appeal has been <approved/denied> and a revised grant amount <has/has not> been approved. Your award based on the Appeal Determination Report will be processed automatically. No timeline can be provided for the payment process. If you have any question regarding your appeal, please contact Appeals Specialist, <Name> at <225-000-0000> or by email at <firstname.lastname@la.gov>.

Additional requests and/or information to review your calculations must be provided in writing through mail delivery. Your deadline to submit any additional requests or documents is thirty (30) days from the date of this report. Your Appeals Specialist can answer questions but cannot initiate an additional review of your file.

If you accept the Appeal Determination, please sign the last page of this document and return it to:

ATTN: Appeals Division
OCD-DRU
Hazard Mitigation Grant Program
P.O. Box 5098
Baton Rouge, Louisiana 70821-5098



Bobby Jindal GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

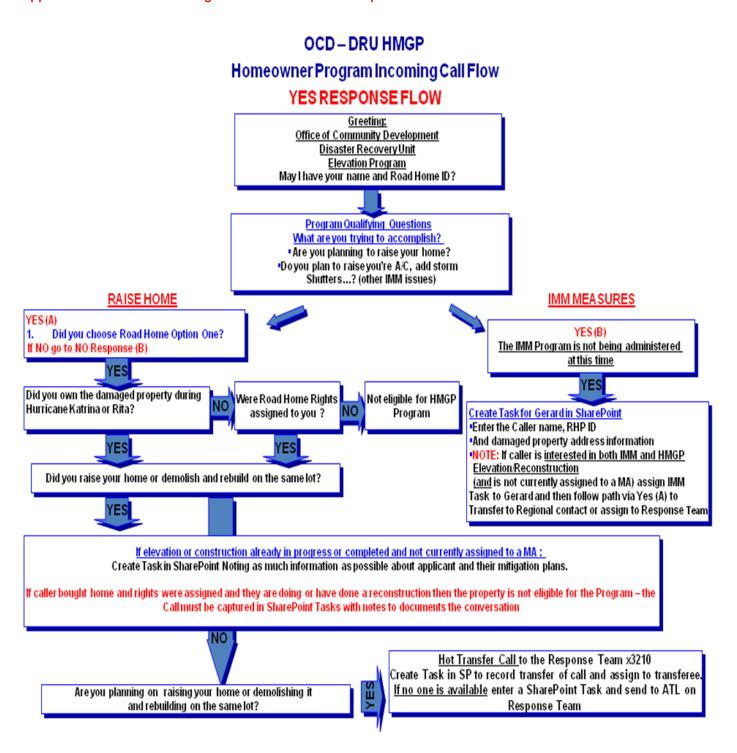
Office of Community Development

Disaster Recovery Unit

Date

Applicant Name: Co-Applicant Name: Applicant Identification Numb	oer:				
	Appeal Determination Form				
☐ I accept the Appeal Determination. ☐ I do not accept the Appeal Determination and I will send in additional documents within thirty (30) days to support my claim.					
Applicant Signature	Date	Co-Applicant Name	Date		

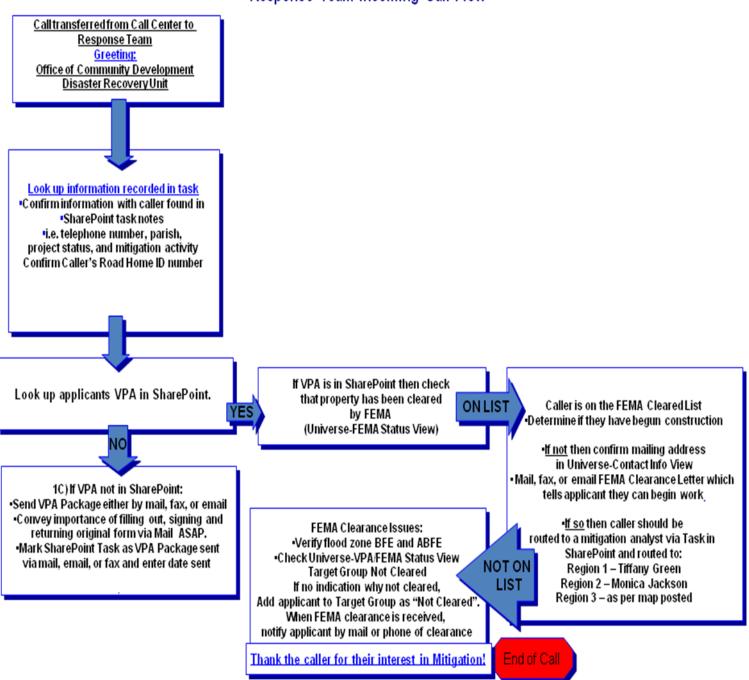
Appendix 4.4: HMGP Incoming Call Flow Chart- Yes Response Flow



OCD - DRU HMGP Homeowner Program Incoming Call Flow NO RESPONSE FLOW Greeting: Office of Community Development Disaster Recovery Unit Elevation Program May I have your name and Road Home ID? NO(B) Caller referred to us by the Road Home NO(A) Caller requests a specific MA NO (C) Road Home Program Option One participation For anything other than HMGP Is required for the HMGP Elevation/Reconstruction program information Elevation/Reconstruction Program ·Hot Transfer Call to the requested MA Create Task in SP to record transfer of call.. If the person is not available enter a SharePoint Task and calendar Refer Caller to the Road Home at 888-762-3252 3 business days from present date Or, their Road Home contact at 225-709-9100 to return the call and send to vm. Callers that did not participate in The Road Home Program as an Option One Participant Are Ineligible for this program Thank the caller for their interest in Mitigation! Be sure to set the right expectation regarding call backtimes. Remember teams on Outreach will have longer call return times. NOTE: All calls that go to the Call Center Voice Mail Must be called back by Call Center Team and Noted in SharePoint Tasks as an IB & OB call. **End of Call**

Appendix RT: Response Team Incoming Call Flow

OCD - DRU HMGP Response Team Incoming Call Flow



DOA JUSTIFICATION FORMWorkstations for OCD/DRU/HMGP

Date:	11/05/2008		
To:	Barbara Goodson Deputy Commissioner		
Recommended by:	Thomas Brennan Deputy Executive Director, OCD-DRU		
Budget Unit:	Office of Community Development		
Standard IT p	ion technology (IT) related >\$1,000 urchase >\$1,000 and <\$100,000 IT purchase <\$100,000		
APPROVALS FOR	IT PURCHASES:		
OIS DIRECTOR			
Randall Walk	Approved: Rejected:		
Comments:			
APPROVALS FOR	ALL ACQUISITIONS:		
DEPUTY COMMISS	IONER		
Barbara Good	Approved: Rejected:		
Comments:			

Information Technology (IT) Items - Software:

Itemized List:	Quantity	Estimated Unit Price	Estimated Total Cost
Item: For 45 workstations			
Cisco Security Agent			\$2,222.60
Microsoft Windows/Office/Core CALS			\$19,342.35
Symantec Antivirus			\$3,069.65
For 26 Workstations:			
Adobe Professional			\$5,732.98
Visio Professional			\$8,133.36
Project			\$8,645.82
For 3 Workstations:			
Dreamweaver			\$1,140.62
			0.00
		Total	\$48,287.38

Justification:

Standard desktop software, along with non-standard software, such as Visio, Adobe Professional, Project and Dreamweaver to accommodate the OCD-DRU Hazard Mitigation Staff.

NOTE: For software costing more than \$5000, the following must be completed.

Describe mission to be accomplished:

Identify hardware platform and operating system on which new proposal software is to be used:

Funding Source (if current operating budget or capital outlay, provide BA-22 or BA-7):

State the overall impact the software will have on the performance of the installation, and the factors used in reaching this conclusion:

List all known packages investigated to accomplish the required task including the total cost for each. Include the rationale for selection or rejection:

Information Technology (IT) Items - Hardware:

Itemized List:	Quantity	Estimated Unit Price	Estimated Total Cost
Item:			
DOA Standard Desktop w/o display	45	\$849.00	\$38,205.00
22" Monitor	45	\$240.76	\$10,834.20
			0.00

	0.00	0.00
		0.00
	Total	\$49,039.20

Justification:

The OCD-DRU is the sub-grantee of a \$750 million dollar hazard mitigation grant. The Hazard Mitigation Grant Program (HMGP) is authorized under Section 404 of the Stafford Act, funded by the Federal Emergency Management Agency (FEMA) and provides grants to State and local governments to implement long-term hazard mitigation measures after a major disaster declaration. In order to provide for the successful implementation and administration of the grant, 47 positions have been authorized. The non-standard 22 inch wide screen display will be used by OCD HM staff to review data and perform daily components of their job functions more efficiently. Specifically, this will allow staff the ability to display form data in the intended resolution based on the format in which it was created. Additionally, once the GIS component of our program is activated, these screens will give staff the ability to view imagery and high-resolution raster datasets to make informed decisions based on real-world portrayals.

Funding Source:

A BA-7 will be completed after funding is definite.

Current operating budget, Cost Center: 107/3070/HMPD Sandy Smith 342-7412

Prepared by: Mary Sharp and Tisha Lee Phone Number: 362-2562

Appendix 5.0B – Procurement Sample Email Purchase Request

Please approve the below request for the purchase of the supplies identified below. The supplies will be used at outreach events conducted throughout the State of Louisiana. The outreach events will be provide homeowners with the opportunity to obtain homeowner consultations, submit required documentation, and determine continued eligibility for the Hazard Mitigation Grant Program. All of the information regarding the supplies was obtained from www.corporateexpress.com. Please let me know if you have any questions regarding the below request.

Thanks,
Tisha
OCD-DRU
Hazard Mitigation

Appendix 5.0C –Procurement Conference, Meeting, Workshop Price Quote

October 13, 2008

CONFERENCE, MEETING, WORKSHOP PRICE QUOTE REQUEST

TO:	
FROM:	State of Louisiana, Office of Finance & Support Services
SUBJECT:	Request for Quote
The Office of Cor Orleans outreach	mmunity Development, Disaster Recovery Unit is sponsoring the Orleans <u>Outreach Event</u> . The Event schedule:
7:30 a.m. – 6:30	p.m Thursday, November 6, 2008 p.m. Friday, November 7, 2008 p.m. Saturday, November 8, 2008
•	ss to both conference rooms the evening of Wednesday, November 5, 2008 for approximately (2) for the set-up of any equipment.
We are seeking a	a facility that can accommodate our conference.
Please indicate w	whether or not your facility can accommodate our conference:
YES	NO D
	accommodate us, please provide the following information with consideration of state governmen puisiana Travel Guide: http://www.louisiana.gov/osp/travel/travelpolicy/travelguide08-09.pdf
Conference Roor	ms: November <u>6 – 8,</u> 2008: Two rooms will be required.
Conference Rooi	m 1:
Approx. six (6) ch A minimum of fou	ctangular table with two (2) chairs set up near the entrance to the room. nairs to be set up in the same entrance area for people waiting. ur (4) 4' - 6' rectangular tables, to seat approx. 20 participants or 5 at each table. itional 4' – 6' rectangular tables for IT equipment setup.
Conference Rooi	m 2:

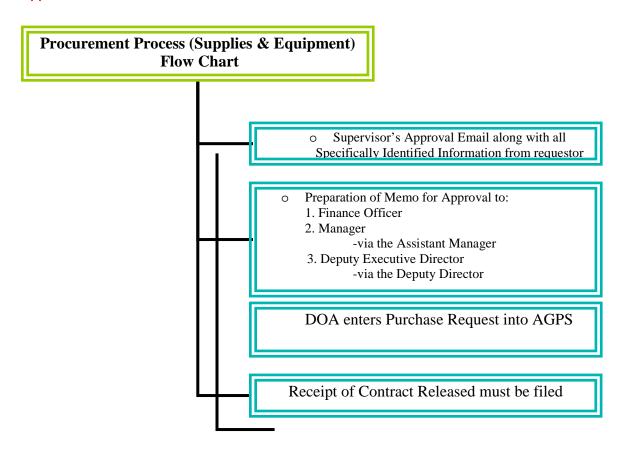
Room Rate: Single Room \$ Double Room \$ Double Room \$ At what time prior to the opening day of the conference does your hotel set as a cutoff date for a room block (i.e., of month, two weeks)? When a cutoff date arrives and the room block is not full, will your hotel work with our office and possibly allow additional time to fill the room block at the special room rate? Yes No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: 8:00 a.m. – 6:30 p.m. Thursday, November 6, 2008 8:00 a.m. – 6:30 p.m. Friday, November 7, 2008 8:00 a.m. – 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ Yes No	approx. <u>20</u> par			t ated as a separate consultation
Block of Sleeping Rooms: Approximately 20 Participants will be responsible for lodging accommodations for three nights, November 5 – 7, 2008. Room Rate: Single Room \$ Double Room \$ Double Room \$ At what time prior to the opening day of the conference does your hotel set as a cutoff date for a room block (i.e., of month, two weeks)? When a cutoff date arrives and the room block is not full, will your hotel work with our office and possibly allow additional time to fill the room block at the special room rate? Yes No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: 3:00 a.m. – 6:30 p.m Thursday, November 6, 2008 3:00 a.m. – 6:30 p.m. Friday, November 7, 2008 3:00 a.m. – 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ No If yes, is the use of the audio/visual equipment available at your facility? Yes No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No		Are meeting room rate	s based on a sliding scale a	according to the number of
Room Rate: Single Room \$ Double Room \$ Double Room \$ At what time prior to the opening day of the conference does your hotel set as a cutoff date for a room block (i.e., of month, two weeks)? When a cutoff date arrives and the room block is not full, will your hotel work with our office and possibly allow additional time to fill the room block at the special room rate? Yes No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: 8:00 a.m 6:30 p.m Thursday, November 6, 2008 8:00 a.m 6:30 p.m. Friday, November 7, 2008 8:00 a.m 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No				
Room Rate: Single Room \$ Double Room \$ Double Room \$ At what time prior to the opening day of the conference does your hotel set as a cutoff date for a room block (i.e., of month, two weeks)? When a cutoff date arrives and the room block is not full, will your hotel work with our office and possibly allow additional time to fill the room block at the special room rate? Yes No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: 8:00 a.m 6:30 p.m Thursday, November 6, 2008 8:00 a.m 6:30 p.m. Friday, November 7, 2008 8:00 a.m 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No				
At what time prior to the opening day of the conference does your hotel set as a cutoff date for a room block (i.e., of month, two weeks)?			nts will be responsible for lo	odging accommodations for
When a cutoff date arrives and the room block is not full, will your hotel work with our office and possibly allow additional time to fill the room block at the special room rate?Yes No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: 3:00 a.m. – 6:30 p.m Thursday, November 6, 2008 3:00 a.m. – 6:30 p.m. Friday, November 7, 2008 3:00 a.m. – 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No	Room Rate: Single Ro	oom \$	Double Room \$	
Audio/Visual: Is audio/visual equipment available at your facility? Yes No Security: No Security: (1) armed security guard shall be located in the reception area. The schedule is as follows: B:00 a.m 6:30 p.m Thursday, November 6, 2008 B:00 a.m 6:30 p.m. Friday, November 7, 2008 B:00 a.m 12:30 p.m. Saturday, November 8, 2008 Set-up Fees:				ff date for a room block (i.e., one
8:00 a.m. – 6:30 p.m Thursday, November 6, 2008 8:00 a.m. – 6:30 p.m. Friday, November 7, 2008 8:00 a.m. – 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No If yes, please indicate the amount: \$ Yes No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No				office and possibly allow
8:00 a.m. – 6:30 p.m. Friday, November 7, 2008 8:00 a.m. – 12:30 p.m. Saturday, November 8, 2008 Set-up Fees: Do you charge meeting room set-up fees? Yes No	Security: (1) armed security guar	rd shall be located in the	reception area. The sched	lule is as follows:
Audio/Visual: Is audio/visual equipment available at your facility? Yes No If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No	<u> 8:00 a.m. – 6:30 p.m. Friday, No</u> 8:00 a.m. – 12:30 p.m. Saturday	<u>vember 7, 2008</u> , November 8, 2008		
If yes, is the use of the audio/visual equipment included as part of the conference room(s) cost? Yes No	Set-up Fees: Do you charge If yes, please i	meeting room set-up fe ndicate the amount:	es? Yes \$	No
If not, please quote on rental cost of each per day:	If yes, is the use of the			
	If not, please quote o	n rental cost of each pe	er day:	
A response is due by Date Time	A response is due by _		Date	Time

You may fax this quote to me at $342\underline{-8192}$ (fax #).

A response is due by	October 15, 2008,	<u>10:00 a.m.</u>		
Signature of Quote Pro	vider		 Date	
(Print name)				
Jewel Klusman				

Procurement Specialist
Division of Administration
Office of Finance and Support Services
Phone: (225) 342-2270
Fax: (225) 342-8192

Appendix 5.0D: Procurement Process Flow



Appendix M: Management Report

REPORTING:

The following are examples of management reports that are currently being created by Hazard Mitigation IT Team. The IT Reports Specialist will incorporate most of this data into the weekly "Manager's Report". The Database Manager is in the process of automating report generation. Some of this data also appears on monthly "HMGP Applicant Status Summary".

<u>Underlined items are not currently captured</u>:

1. **Status Tracking Report (**comes from "Target List")

<u>Weekly summarizations</u>, cumulative YTD totals, <u>cumulative monthly totals</u>, <u>cumulative weekly totals</u> [<u>previous week comparison</u>] broken out by Region (3), <u>Parish</u> (up to 64) and MA (up to 120) and rolled up for department total

- a. # Homeowners (applicants) meetings held with
- b. # Property folders reviewed
- c. # Homeowners (applicants) providing match
- d. # Matching dollars
- e. # Ineligible homeowners (applicants) for match or payment
 - i. # ineligible due to square footage discrepancy
 - ii. # ineligible due to match no award
 - iii. # ineligible due to no supporting documents
- f. # Homeowners (applicants) eligible for payment
- 2. Correspondence Tracking Report (comes from "Communication Log" (for historical data) and "IB/OB Tasker" (for current data)

Weekly summarizations, cumulative YTD totals, cumulative monthly totals, cumulative weekly totals [previous week comparison] broken out by Region (3) and MA (up to 120) and rolled up for department total

- a. # of calls by Region
 - i. Inbound calls
 - ii. Calls returned
 - iii. Outbound Calls (First contact)
- b. # of emails for week by Region
 - i. Inbound emails
 - ii. Emails returned
 - iii. Outbound Emails (First contact)
- c. # of letters for week by Region
 - i. Inbound letters
 - ii. Returned letters
 - iii. Outbound letters (First contact)
- d. # of faxes for week by Region

- i. Inbound faxes
- ii. Outbound faxes
- 3. **Field/Site Tracking Report** (comes from "Target List", and information retrieved from the Inspection Team Monitor (we need to identify this))

Weekly summarizations, cumulative YTD totals, cumulative monthly totals, cumulative weekly totals [previous week comparison] broken out by Region (3), <u>Parish</u> (up to 64), and <u>MA</u> (up to 120) and rolled up for department total

- a. # 1st contact Visits
- b. # Midpoint Visits
- c. # Completion Visits
- d. # and Type Other Visits
- 4. Inbound Call Specialist Log (comes from "IB/OB Tasker")

Weekly summarizations of daily, weekly, monthly, and cumulative YTD totals broken out by Region (3), <u>Parish</u> (up to 64), <u>Inbound Call Specialist (ICS)</u> (up to 20), and possibly <u>MAs</u> (up to 120) and rolled up for department total

- a. # Inbound Calls
- b. # Outbound Calls
- QA/QC Report (comes from "QA/QC Checklist Project Folder Review")

<u>Weekly summarizations</u>, cumulative YTD totals broken out by <u>Parish</u> (up to 64) and MA (up to 120) and rolled up for department total

- a. # Files Received
- b. # Files Reviewed
- c. # Files Overturned
- d. # Files Rejected (sorted by reason)
- 6. Mitigation Analyst Pipeline Report (comes from "Target List")

<u>Weekly summarizations</u>, cumulative YTD totals broken out by <u>Parish</u> (up to 64), MA (up to 120), and <u>Disaster Number</u> (2) and rolled up for department total

- a. # New Files & # days in this status
- b. # WIP Files & # days in this status
- c. # Mid Point Payment Files & # days in this status
- d. \$ Mid Point Payments approved
- e. # Final Status Files & # days in this status
- f. # Final Payment Made Files & # days in this status (should coincide with # closed by OCD)
- 7. Financial Report (comes from "Target List")

<u>Weekly summarizations</u>, cumulative monthly and YTD totals made and pending for payment to homeowners (applicants)

- a. Mid Point
- b. Final Payments approved (should coincide with \$ closed by OCD)

- c. # Properties approved by FEMA
- d. # Properties Closed by OCD
- e. \$ Closed by OCD
- f. # Properties Closed by OHSEP
- g. \$ Closed by OHSEP
- h. # Properties Closed by FEMA
- i. \$ Closed by FEMA
- 8. GOHSEP/FEMA Report (comes from "Target List")

Monthly

- a. By Applicant (up to 20,000)
 - i. Actual Cost Calculations
 - ii. Identified Mitigation Measure



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development Disaster Recovery Unit

Exhibit 1: Draft Homeowner Workshop Letter

January 15, 2009

<Name>

Street Address

City, LA Zip Code

Road Home ID: 06HH000000

Re: OCD-DRU HMGP Workshop (January 29 - 30, 2009)

Dear < Name>:

The Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP) will be hosting a workshop on January 29th and 30th. By completing and submitting the HMGP Statement of Voluntary Participation Agreement, you have indicated that you are interested in participating in this program.

If you would like to meet with a Mitigation Analyst to discuss your situation and determine your eligibility for the program, here are the actions you need to take to get started:

1. Please call (877) 744-7235 to schedule your appointment time. If someone is unavailable to answer your call, please leave your name, phone number and preferred time and date for the appointment. You may request an appointment to start at any time below (the first appointment is at 8:00 a.m. each day and the last appointment begins at 4:30pm). Appointments usually last an hour and a half. Details follow:

Thursday: 8:00 a.m. - 4:30 p.m. Friday: 8:00 a.m. - 4:30 p.m.

Appointment Location:

Municipal Auditorium 1234 Privacy Lane New Orleans, LA (See attached map)

Page 2, Hazard Mitigation Elevation Grant Workshop

- 2. Please bring the following items, or as many as possible, with you to your appointment:
 - Photo ID (a photo ID is required to participate in the grant workshop)
 - Power of Attorney (if applicable)
 - Road Home applicant number
 - Copy of your recorded Road Home Covenant
 - Construction contract (if applicable)
 - Approved building plans
 - Estimated damage
 - Paid Invoices, receipts, and cancelled checks documenting work
 - Voided check from your checking/saving account
 - Final Elevation Certificate
 - Final building permit
 - Certificate of Occupancy
 - Proof of Flood Insurance
 - Work in Progress documentation (if applicable)
 - Square footage of original structure (Reconstruction only)
 - Square footage of new structure (Reconstruction only)
 - Demolition Inspection Certification (Reconstruction only)
 - Foundation Inspection Certification (Reconstruction only)
 - Floodplain Inspection Certification (Reconstruction only)
 - Framing Inspection Certification (Reconstruction only)
 - Sheathing Inspection Certification (Reconstruction only)
 - Final Inspection Certificate (Reconstruction only)

The Work in Progress exception is available for mitigation activities that were initiated after the date of the declaration but prior to March 16, 2008. The following documentation should be provided in addition to a homeowner satisfying standard OCD-DRU HMGP eligibility criteria:

Work initiated after the date of declaration but prior to March 16, 2008

The following are examples of documentation that the work was initiated after the date of declaration but prior to March 16, 2008:

- Invoices showing the actual dates of physical work of the mitigation activities;
- > Signed statement from a contractor certifying the date the mitigation activity was initiated on-site;
- ➤ Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a copy of the building permit obtained for the activity; and
- Inspection report by the local building official dated no later than March 16, 2008.

Page 3, Hazard Mitigation Elevation Grant Workshop

Documentation that the property was affected by Hurricanes Katrina or Rita

The following are examples of documentation that the property was affected by Hurricanes Katrina or Rita:

- > Insurance claims
- > Inspection report completed after the event
- Proof of assistance through FEMA's Individual Assistance or Public Assistance Program
- Dated Photographs
- > Flood data verifying inundation

The more of these items you bring with you to this initial workshop, the easier it will be for the State to determine your eligibility and calculate your grant award.

Enclosed are the following: Fact Sheet, Frequently Asked Questions, and a map showing the location of the workshop.

Please note that there will be additional outreach events in other locations if you cannot attend this one. If you have any questions, or if any additional information is required, please call (877) 744-7235.

Sincerely,

William Haygood Hazard Mitigation Manager

Enclosures

The Office of Community Development Disaster Recovery Unit does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, including auxiliary aids and services, to afford an individual with a disability an equal opportunity to participate in all services, programs and activities. Any persons requiring special needs assistance should contact Joan Stagg, Call Center Monitor, at (225) 252-2038 at least five business days prior to the meeting. The TDD number for the hearing impaired is 1-800-846-5277. Additional information regarding the use of the Louisiana Relay service can be found at the following link: http://www.hamiltonrelay.com/states/la howto.htm.

HMGP Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program

The OCD-DRU HMGP can reimburse up to \$100,000 (based on actual construction costs) to eligible Road Home Option 1 homeowners for expenses incurred in elevating or reconstructing their homes to meet the Advisory Base Flood Elevation (ABFE) or to meet the adopted Base Flood Elevation (BFE) if no ABFE exists. The OCD-DRU HMGP is a reimbursement program. Homeowner eligibility and eligible expenses are determined by FEMA based on HMGP regulations. These funds are not subject to the Road Home \$150,000 maximum cap.

PROGRAM ELIGIBILITY

A homeowner must meet the following criteria to be considered for the OCD-DRU HMGP award:

- Homeowner is an eligible participant in the Road Home program. (NOTE: Even if a homeowner received a zero award letter from Road Home, that homeowner may still be eligible for money through the OCD-DRU HMGP.)
- Homeowner selected *Road Home* Option 1 Keep their home
- Homeowner still owns the home that was eligible for *Road Home* benefits
- The structure is located in a FEMA-designated ABFE or the mitigation activity is deemed cost beneficial according to FEMA guidelines
- Homeowner agrees to comply with all HMGP regulations

ELEVATING A HOME

Elevation means raising the lowest floor of the structure to comply with local floodplain ordinances. The structure is raised with a higher first floor, allowing floodwater to flow under the house rather than through it.

RECONSTRUCTING A HOME

Reconstruction means demolishing and rebuilding a structure in compliance with the ABFEs or the Base Flood Elevation, whichever is higher. The new structure must be designed and rebuilt, at minimum, to the requirements of the International Residential Code for One- and Two-Family Dwellings. (*NOTE: The total square footage of the new structure cannot be more than 10% larger than that of the original structure*.)

AWARD AMOUNT

The OCD-DRU HMGP is a reimbursement program; eligible applicants may receive up to \$100,000 based on documentation of actual total construction costs.

- Homeowners are eligible for a mid-point payment once half of the construction work has been completed
- The balance will be paid upon completion of work and approval of required documentation

DUPLICATION OF BENEFITS

- ELEVATION Once a homeowner receives enough funding to complete their elevation project from programs such as Increased Cost of Compliance (ICC) or Road Home Elevation Incentive Awards, no additional money can be granted from HMGP.
- RECONSTRUCTION Reconstructions are different from elevations and have different cost eligibilities. For reconstruction determinations, items such as *Road Home Compensation Grants*, homeowner insurance structures claims, and NFIP Structure Settlements are deducted from total eligible project costs. (*NOTE: If homeowner can show documentation that the settlement or award was used for home repair before the home was demolished and reconstructed, funds will not be deducted from eligible costs) The amount of money a homeowner received from the <i>Road Home Elevation Incentive* program and ICC funds designated for elevation are also deducted from total eligible project costs since FEMA Reconstruction guidance requires the new structure be built in compliance with the FEMA Advisory Base Flood Elevations (ABFEs) published for that area.

FREQUENTLY ASKED QUESTIONS

WHAT ARE THE DIFFERENT ELEVATION PROGRAMS?

Road Home Option 1 participants may have had access to one or more of these three elevation programs:

The *National Flood Insurance Program's Increased Cost of Compliance (ICC)* program can provide up to \$30,000 to eligible policy holders who sustained damage of 50% or more. This is administered through the NFIP (National Flood Insurance Program). Homeowners should contact their flood insurance provider for additional information.

The *Road Home Elevation Incentive Award* provides \$30,000 (\$20,000 for mobile homes) to eligible homeowners as an incentive to elevate their homes to meet the local Base Flood Elevation or Advisory Base Flood Elevation. These funds are limited to the specific dollar amount and not to exceed the Road Home \$150,000 maximum. For questions about the *Road Home Elevation Incentive Award Program*, call Road Home at 1-888-ROAD2LA (1-888-762-3252).

The State *OCD-DRU Hazard Mitigation Grant Program (HMGP)* provides up to \$100,000 in additional funds (based on actual construction costs rather than a fixed amount) to eligible homeowners to elevate their homes to meet the local Base Flood Elevation or Advisory Base Flood Elevation, whichever is higher. Under FEMA's Pilot Reconstruction Program, eligible applicants may receive HMGP funds to demolish an existing structure and construct an improved, elevated structure on the same site as long as it is not 10% larger than the original structure. Homeowner eligibility is determined by FEMA based on HMGP regulations.

For all of these programs you should contact your local building code and permit office to determine elevation requirements for your home.

WHAT IF I HAVE COMPLETED ELEVATION, AM I STILL ELIGIBLE?

For the State HMGP Award, if you started construction prior to March 16, 2008, you could still be eligible (documentation is required). After March 16, 2008, written authorization from the State has been required in order to begin work and remain eligible. Without written authorization you may be ineligible.* In all cases, however, it is important that you contact OCD-DRU before beginning any work to be sure your property is on the FEMA "cleared list." This means your property was reviewed for environmental and historical preservation issues and for cost effectiveness, and it has been cleared for you to begin work.

* NOTE: Recent legislation (Section 602 of the American Recovery and Reinvestment Act of 2009) seeks to repeal the provision regarding the date of March 16, 2008. Pending clarification and a ruling from FEMA, the provision remains in force.

WHY IS MARCH 16, 2008, SO IMPORTANT?

NOTE: Recent legislation (Section 602 of the American Recovery and Reinvestment Act of 2009) seeks to repeal the provision regarding the date of March 16, 2008. Pending clarification and a ruling from FEMA, the provision remains in force.

FEMA requires that each participating property undergoes an Environmental and Historic Preservation (EHP) review prior to actually disturbing the ground. Normally, work started before EHP clearance disqualifies the property from funding.

Thousands of homeowners who began elevating and reconstructing their homes immediately after Katrina and Rita without first getting EHP clearance were going to be disqualified from participation in the HMGP program. However, FEMA granted a partial waiver for those cases.

Homeowners who began elevating or reconstructing before March 16, 2008, are not automatically disqualified or qualified, but still must pass an EHP review to be deemed eligible.

If you started work before March 16, 2008, whether you have finished your work or not, you should contact OCD-DRU to identify interest in participating in the program and make sure a FEMA review has been done or will be done. You must be on the FEMA "cleared" list to qualify for HMGP funds.

If you have not yet begun work, you should contact OCD-DRU to identify interest in participating in the program and make sure a FEMA review is completed first. NOTE: Homeowners who start work before receiving FEMA clearance will be ineligible for OCD-DRU HMGP funds.

If you began work after March 16, 2008, please call OCD-DRU at 1-877-744-7235 to determine if and when your property received FEMA clearance. NOTE: If FEMA has not performed the necessary clearance process, you are currently ineligible for OCD-DRU HMGP funds.

NOTE: Recent legislation (Section 602 of the American Recovery and Reinvestment Act of 2009) seeks to repeal the provision regarding the date of March 16, 2008. Pending clarification and a ruling from FEMA, the provision remains in force.

IF I SOLD MY HOME SINCE RECEIVING MY ROAD HOME GRANT, AM I ELIGIBLE?

No. You are not eligible to receive funds under either program if you have sold the home since receiving your *Road Home* grant.

WHAT SHOULD BE MY FIRST STEP TO GET HMGP FUNDS?

For the State HMGP Award, you need to return the FEMA required **Voluntary Participation Agreement (VPA)**. FEMA then determines your eligibility. Once your home is cleared by FEMA, HMGP analysts will contact you to begin the process of evaluating your eligible reimbursements. If you have not signed a VPA form, or you are not certain whether you did or not, call OCD-DRU toll free at 1 (877) 744-7235 and we will check to see if you have a VPA on file. If not, we will send you one, or you can download a VPA form by clicking on this link: **Download VPA**

WHEN WILL I GET MY STATE HMGP AWARD?

Prior to the award, each project must be determined eligible by FEMA. Each project must be monitored for construction progress and compliance with HMGP regulations prior to the disbursement of funds.

You get money from us in two steps. For elevations, we first pay you up to half the money when your home is elevated to your required height and you have provided the proper documents and receipts. We call that the Midpoint Payment. Then, when everything is finished, inspected and found to be in compliance, we pay you the remaining half of the money you qualify for (the Final Payment).

For reconstructions, there is a similar two-step process. First, we pay you up to half the money when your new home is framed out and you have provided the proper documents and receipts. We call that the Midpoint Payment. Then, when everything is finished and inspected and found to be in compliance, we pay you the remaining half of the money you qualify for (the Final Payment).

You are under no obligation to us until you get the Midpoint Payment. By accepting that money, you are agreeing to finish your elevation or reconstruction project within the next 12 months in accordance with federal and state HMGP requirements. Of course, at all times you are responsible for the accuracy of the information you provide to us, and for ensuring that the money you get from HMGP is not a duplication of benefits you got from other programs.

DO I NEED A CERTIFICATE OF OCCUPANCY TO GET MY FINAL PAYMENT?

The only time you need a Certificate of Occupancy is for a Reconstruction Final Payment. You do not need it for a Reconstruction Midpoint Payment, and you do not need it for an Elevation Midpoint or Final Payment.

WHAT DOCUMENTS DO I NEED TO PROVIDE TO GET PAID? FOR MID-POINT PAYMENT

A mid-point payment can be made at the point which your home is elevated (or, for reconstructions, when your new home is framed out). In order for us to review your file for eligibility and determine your award, please provide the following documentation.

You can mail in copies of your documentation to the following address. Or we can meet with you and make copies. Please do not mail in your original documentation (such as receipts, elevation certificates, or building permits).

Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program P.O. Box 5098 Baton Rouge, Louisiana 70821-5098

Required Documentation for Mid-point Payment (Elevation):

- Voluntary Participation Agreement (VPA)
 Note: You may have already signed this document when you indicated interest in the Road
 Home's Elevation Incentive program.
- Building Permit (and Demolition Permit for Reconstruction Projects)

 You can get this from the safety and permit office of your Parish or Municipality. Some parishes provide duplicate permits on their website.
- Elevation Certificate

This is used to verify that your home is elevated to the required elevation. These evaluations are performed by surveyors, architects or engineers. Also, some Parishes provide documentation verifying your home is elevated to the required elevation. If you have an elevation certificate that shows the elevation level before you elevated, please provide that as well.

• Paid invoices, receipts, and cancelled checks documenting payments made

Note: HMGP cannot reimburse you for costs that are not documented. If you paid by check,
a copy of the cancelled check is needed. You can get this from your bank statement or by
contacting the bank directly. If you paid in cash, we need an invoice marked paid or a receipt.

Required Documentation for Mid-point Payment (Reconstruction):

If you demolished your damaged home and built a new home, you will need to submit the following additional documentation:

- Document verifying the square-footage of your damaged residence
 This could be a property tax bill, insurance claim, appraisal, or demolition permit.
- **Document verifying the square-footage of your new residence** *This could be a property tax bill, building plans, appraisal, or building permit.*

If you started your elevation or reconstruction prior to 3/16/2008, please provide documents to verify the date you started. This could be an invoice, receipt, or letter from a contractor.

In addition, in order to receive a payment, you have to agree to certain program requirements. The requirements are detailed in the HMGP Covenant Rider. The document modifies the covenant signed with the Road Home Program. Please contact us for a copy of this document.

Recommended Documentation:

The following documentation is not required, but will help us to determine your eligibility and calculate your award. Please provide these items if they are available.

• Power of Attorney

If you are the eligible Road Home applicant and you would like someone else to handle your HMGP application, you will need to provide a Power of Attorney which allows a designated person to act on your behalf.

- A copy of your recorded Road Home Covenant
- Construction contract
- Building plans
- Photographs documenting your elevation or reconstruction project

FOR FINAL PAYMENT

A final payment is made when your construction is complete. In order for us to determine your final award, please provide the following documentation in addition to the documentation listed above:

Required Documentation:

- Any additional receipts, paid invoices, or cancelled checks

 If you have incurred additional costs since receiving your mid-point payment, please submit supporting documentation.
- Certificate of Occupancy (for Reconstruction Projects, not Elevation)

 You can get this from the safety and permit office of your Parish or Municipality once construction is complete.
- Proof of current flood insurance

Your flood insurance carrier can provide a copy of your declaration page.

HOW HIGH DO I HAVE TO ELEVATE?

This depends on each individual property. For the State HMGP Award, you must elevate to the ABFE or BFE, whichever is higher. You should contact your local building code and permit office to determine elevation specifics for your property.

WHAT IS AN ADVISORY BASE FLOOD ELEVATION (ABFE) OR BASE FLOOD ELEVATION (BFE)?

The ABFE or BFE establishes the height, relative to the mean sea level, that has a one percent chance or greater of flooding in a given year as determined by FEMA and adopted by your local jurisdiction. An ABFE becomes a BFE once adopted by a municipality.

WHAT IS THE DIFFERENCE BETWEEN ELEVATION AND RECONSTRUCTION?

ELEVATION means physically raising an existing home to or above the Base Flood Elevation. Repair costs are not eligible for reimbursement in an elevation, but things such as reconnecting the plumbing, reconnecting electrical lines, and building access to the elevated home are eligible.

Within this program, RECONSTRUCTION does not mean repairing. It means demolishing an existing structure (that is deemed infeasible for elevation) and rebuilding a new structure on the same lot. That new structure must be hazard resistant and built at or above the local BFE or ABFE, whichever is higher.

NOTE: The total square footage of the new structure cannot be more than 10% larger than that of the old storm-damaged home it is replacing.

WHY IS IT SOMETIMES REFERRED TO AS "PILOT" RECONSTRUCTION?

Normally, FEMA only allows HMGP funds to be used for elevating an existing structure. Rebuilding (reconstructing) a new home when the original has been washed away or is too damaged to elevate is not usually funded through HMGP. However, a special waiver has been granted for damage caused by hurricanes Katrina and Rita. Therefore, this is a "pilot" or test program, with no guarantee that FEMA will ever allow HMGP funds to be used for reconstruction purposes in other situations.

AM I REQUIRED TO MOVE INTO MY ELEVATED OR RECONSTRUCTED HOME WITHIN 12 MONTHS?

There is an HMGP requirement for a homeowner to reoccupy the property within 12 months of receiving an award payment. However, we can extend the timeline if the applicant demonstrates a reasonable effort to complete the mitigation activity and the work is completed prior to the end of the grant's performance period.

WHAT ABOUT THE NEW ORLEANS REDEVELOPMENT AUTHORITY (NORA) 270-DAY DEADLINE?

The OCD-DRU HMGP does not work with NORA in the establishment of deadlines for the rebuilding of NORA houses. For more information on NORA or its requirements, please contact NORA directly.

HOW ARE HMGP ELEVATION GRANTS CALCULATED?

HMGP is a reimbursement program, capped at a maximum of \$100,000 per household. It is intended to pay only for eligible expenses that were not covered by other programs such as ICC and the Road Home Elevation Incentive Award. Therefore, duplication of benefits is not allowed.

Here is an example of an Elevation Grant calculation:

HMGP Potential Award**	\$28,699.60
TPC remaining after subtracting <i>Road Home Elevation Incentive & ICC</i>	\$28,699.60
Subtract money received from ICC	- \$30,000.00
Subtract money received from Road Home Elevation Incentive Award	- \$30,000.00
TPC (Total Project Cost)*	\$88,699.60

NOTE: The Midpoint Payment Award is \$14,349.80 (half of total potential amount)

HOW ARE HMGP RECONSTRUCTION GRANTS CALCULATED?

Reconstruction means demolishing an existing home and constructing an improved, elevated home on the same site.* Since it is a larger, more involved project than an elevation, there are more factors to be considered to avoid duplication of benefits. These include payments received such as those from hazard insurance, flood insurance, FEMA Individual Assistance for home repair, and the Road Home Compensation Grant. All construction costs must be based on work and materials that meet all required codes and standards.

HMGP is a reimbursement program, capped at a maximum of \$100,000 per household and is intended to pay only for eligible expenses not covered by other programs.

^{*} Total Project Cost (TPC) is determined by reviewing items such as the receipts, paid invoices, and cancelled checks provided by the homeowner. TPC is then calculated by totaling the expenses associated with the Elevation project that are eligible for reimbursement per FEMA HMGP guidelines

^{**} The OCD-DRU HMGP is a supplemental program with an award capped at \$100,000.

^{*}The total square footage of the new structure cannot be more than 10% larger than that of the original structure.

Here is an example of a Reconstruction Grant calculation:

TPC (Total Project Cost)*	\$364,094.90
Subtract money received from Hazard Insurance	- \$3,037.60
Subtract money received from Flood Insurance	- \$139,000.00
Subtract money received from FEMA IA (for home repair)	- \$0.00
Subtract money received from Road Home Elevation Incentive	- \$3,970.00
Subtract money received from Road Home Compensation Grant	- \$146,030.00
Subtract money received as Road Home Additional Compensation Grant	-\$24,420.00
Subtract money received from ICC	- 0.00
TPC remaining after subtracting other moneys received	\$47,637.30
HMGP Potential Award (capped at a maximum of \$100,000)	\$47,637.30

NOTE: The Midpoint Payment Award is \$23,818.65 (half of total potential amount)

CAN I APPEAL THE AMOUNT OF MY ELEVATION FUNDING?

The amount of *Road Home* Elevation Incentive is determined by structure type - \$30,000 for site built homes and \$20,000 for mobile homes - and whether or not you have reached the \$150,000 maximum. The amount of the award may not be appealed.

The State HMGP Award is based on your actual elevation construction costs, not to exceed \$100,000. If you disagree with the awarded amount you may appeal.

You may appeal your initial eligibility to receive an elevation grant from either program.

WHAT KIND OF RECEIPTS DO I NEED TO KEEP FOR REIMBURSEMENT?

HMGP is a cost reimbursement program. In order to effectively document that eligible work was both performed and paid for, we require verification of payment (paid invoices, receipts, cancelled checks documenting work, contractor statement on company letter head certifying that an eligible expense was paid for if no other documentation is available). If a homeowner chooses to provide a bank statement that reflects the payment of an eligible expense, then that form of documentation is acceptable as well.

WHAT IF I PAID WITH A CREDIT CARD?

If you paid for the expense with a credit card, an invoice and the receipt for the credit card transaction is sufficient justification to document the transaction.

WHAT DO YOU MEAN BY "DUPLICATION OF BENEFITS"?

Once you receive enough money to complete your project from program funds dedicated to such projects, no additional money can be granted. In other words, if your elevation cost \$45,000 and you got \$30,000 from ICC and \$15,000 from the Road Home Elevation Incentive, you would have received the total amount needed to elevate, and any additional funds from HMGP would be a duplicate of the benefits already received. Therefore, by law, you would not qualify for additional HMGP funding.

HMGP Reconstructions are a bit different when it comes to duplication of benefits. For Reconstruction determinations, items such as *Road Home Compensation Grants*, homeowner insurance structures claims, and NFIP Structure Settlements are deducted from total eligible project costs (*NOTE: If homeowner can show documentation that the settlement or award was used for home repair before the home was demolished and reconstructed, funds will not be deducted from eligible costs). The amount of money a homeowner received from the <i>Road Home Elevation Incentive* program and ICC funds designated for elevation are also deducted from total eligible project costs since FEMA Reconstruction guidance

^{*} Total Project Cost (TPC) is determined by reviewing items such as the receipts, paid invoices, and cancelled checks provided by the homeowner. TPC is then calculated by totaling the expenses associated with the Elevation project that are eligible for reimbursement per FEMA HMGP guidelines.

requires that the new structure be built in compliance with the FEMA Advisory Base Flood Elevations (ABFEs) published for that area.

To clarify: The Hazard Mitigation Grant Program looks at what the actual cost of the elevation or reconstruction is and the resources used to pay said activity. This is to ensure that homeowners do not receive more money than it costs to elevate or reconstruct their structure.

WHAT IS REIMBURSEABLE?

Some of the work and/or items used in elevating or reconstructing your home might include the things listed in the following chart. All costs that are directly associated with the elevation or reconstruction activity may potentially be eligible for reimbursement. Approval from FEMA and the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) is required to reimburse costs outside of the following lists and approval is needed for any displacement costs associated with reconstructions.

OCD-DRU HMGP REIMBURSEABLE EXPENSES*

ELEVATION

Retrofitting/Elevation of an Existing Structure

Protective measures for wetland/river/stream

Concrete & Block work; Masonry work

Drilling & Installation of Piers, Columns, or Piles

Beams and columns

Embedment and sealant

Foundation walls

Structural steel work

Bracing and anchoring

Lifting/Jacking/Elevating

Backfilling

Detachment & re-attachment (elements affixed to structure)

Sub-flooring

Wall and roof framing and shell construction

Exterior doors and windows, insulation

Hurricane clips/ties

Seismic retrofits to building code

Building code upgrades

Porches and decks (if pre-existing)

Stairs and railings

Handicap access

Plumbing rough-in (for supply and drain, waste and vent)

Electrical rough-in (main circuit panel, junction boxes, outlets)

Installation of ductwork for HVAC

Electrical service elevation & reconnection

Water service elevation & reconnection

Sewer/Septic system

Elevate mechanical equipment

Roof and Foundation drainage systems

Soil stabilization/retaining walls

Engineering and Surveying Fees

Engineering/Design for proposed elevation

Surveying and site layout

Elevation certificate(s)

Permitting/Recording/Legal Fees

Demolition permit

Building Permit(s)

Plumbing, Electrical, Mechanical Permits

Recording fees

Legal Fees

Hazardous materials abatement report/permit/fees

Site Preparation

Structural demolition

Lot clearing

Debris removal and disposal

Hazardous materials removal/disposal

Excavation/Fill for grading

Landscape replacement/Restoration (for landscape disturbed by construction)

NOTE: This is considered on a case by case basis. FEMA is the decision maker on eligibility.

Displacement Costs

Moving Cost

Temporary Storage Cost

Temporary living facility Cost

Final clean-up

OCD-DRU HMGP REIMBURSEABLE EXPENSES*

RECONSTRUCTION

Project Scoping

Property Verification (e.g., size of pre-existing structure)

Preliminary Elevation Determination

Environmental Site Assessment Phase 1

Engineering Feasibility Study (e.g., can existing

structure be elevated; is mitigation reconstruction

feasible)

Benefit-Cost Analysis

Title Search (e.g., ownership verification)

Pre-Construction Activities

Site Survey (i.e., boundaries and elevation)

Testing for: Soils/Geotechnical, Asbestos,

Lead-Based Paint

Archeological Assessment Phase 1

Local, State & Federal Permitting (e.g., environmental,

historic, etc.)

Architectural/Engineering Design/Plans/Specifications

Displacement Costs

Moving Cost

Temporary Storage Cost

Temporary living facility Cost

Construction Activities

Permitted disposal of routine asbestos & household hazardous waste incidental to demolition

Environmental/Historic Preservation Mitigation

Demolition/Removal (see also section 2.1.1 of Reconstruction Guidance)

Erosion Control/Grading/Drainage

Utility Connections

Landscaping for Site Stabilization (i.e., seeding)

Walkways and Driveways

Elevated Foundation Construction

Inspection of Foundation System

Construction Activities (continued)

Structural Shell

Framing

Exterior Doors

Windows (includes protection)

Access/Egress

Exterior Cladding

Roofing

Interior Partitioning

Drywall

Trim

Painting

Interior Doors

Insulation

Utility Equipment

Heating, Ventilation and Air Conditioning (HVAC)

Water/Wastewater Plumbing

Electrical Panel and Wiring

Hot Water Heater

Fixtures

Sinks/Toilets/Showers

Lighting

Cabinets and Countertops

Flooring

Building Inspections

Certificate of Occupancy

Final Elevation Certificate

Owner Displacement Costs

Prepare and Record Flood Insurance Requirement (after construction finalized)

Not intended to be a comprehensive list. All costs directly associated with the elevation or reconstruction activity may potentially be eligible for reimbursement. Approval from FEMA and GOHSEP is required to reimburse costs outside of the above lists and approval is needed for any displacement costs associated with reconstructions.

IS INSTALLING AN ELEVATOR A REIMBURSEABLE EXPENSE?

If a homeowner has the proper medical documentation, the cost of an elevator and its installation may be eligible for reimbursement. The elevator must meet certain specifications, so contact your HMGP mitigation analyst as soon as possible when considering purchase or installation. The HMGP does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, to afford an individual with a disability an equal opportunity to take advantage of available services.

WHAT IS THE HMGP AWARD COVENANT RIDER?

The *HMGP Covenant Rider* is required by FEMA. It modifies the *Road Home* covenant you signed at closing. The covenant rider must be recorded and will require assuring such things as completion of construction, compliance with building codes, elevation standards, building permits, contractors, current flood insurance, and other FEMA requirements.

DO YOU HAVE A LIST OF APPROVED CONTRACTORS?

OCD-DRU HMGP is not affiliated with any contractor or contracting firm, and does not endorse or recommend any contractor or contracting firm. The Louisiana State Licensing Board for Contractors has a database of licensed contractors at www.lslbc.louisiana.gov/findcontractor.asp

HOW DO I CONTACT YOU TO LEARN MORE OR TO GET STARTED?

To learn more about the OCD-DRU HMGP Award, call us toll free at:

1-877-744-7235 or email us at hazardmitigation@la.gov

The Office of Community Development Disaster Recovery Unit does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, including auxiliary aids and services, to afford an individual with a disability an equal opportunity to participate in all services, programs and activities.

Any persons requiring special needs assistance should contact Joan Stagg, Call Center Monitor, at (225) 252-2038 at least five business days prior to any scheduled meeting. The TDD number for the hearing impaired is 1-800-846-5277. Additional information regarding the use of the Louisiana Relay service can be found at the following link: http://www.hamiltonrelay.com/states/la howto.htm.

^{*} Not intended to be a comprehensive list. All costs directly associated with the elevation or reconstruction activity may potentially be eligible for reimbursement. Approval from FEMA and GOHSEP is required to reimburse costs outside of the above lists and approval is needed for any displacement costs associated with reconstructions.

Municipal Auditorium 1234 Privacy Lane New Orleans, LA 90210

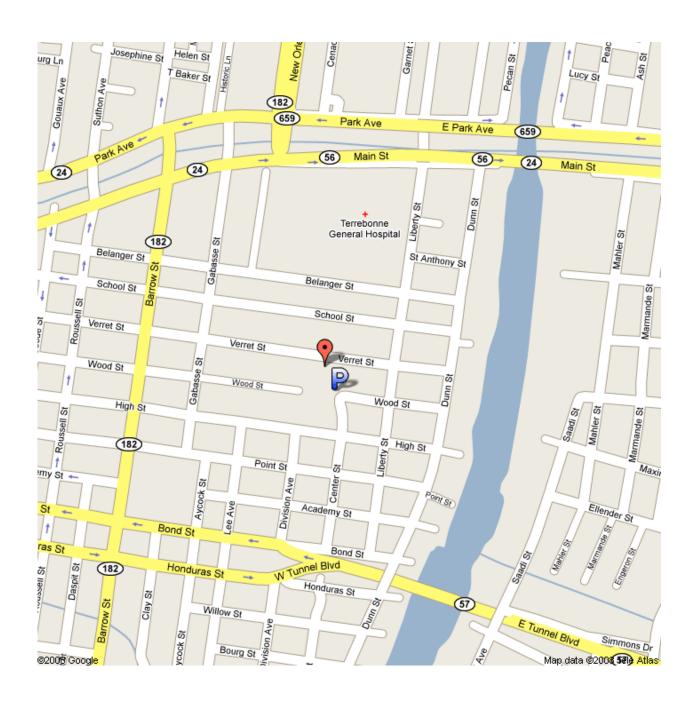


Exhibit 2: FEMA Clearance Letters



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development

Disaster Recovery Unit

April 21, 2009

Jane Doe 123 Sesame St. New Orleans, LA 90210 Road Home ID: 06HH000000

Subject: FEMA Clearance to initiate work on mitigation activity

Dear Homeowner:

We are pleased to inform you that your home at 1000 Damaged Street, New Orleans, LA 70000, has undergone environmental and historic preservation reviews and has received formal clearance from FEMA for you to begin work on your mitigation activity. Being cleared is the essential first step for participation in the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP).

The purpose of the OCD-DRU HMGP is to assist you with the cost of elevating or reconstructing your home damaged by Hurricane Katrina or Hurricane Rita. The process of elevating involves lifting your current structure above the recommended flood plain level. Reconstructing in this program does not mean repairing your home; it means demolishing the structure (if warranted) and rebuilding a new home on the same lot.

It is strongly recommended by OCD-DRU that you speak with one of our Mitigation Analysts before you begin work, as there are specific requirements you must meet for elevating your home, and other requirements for reconstructing your home. Some of those requirements are:

- 1. You must complete the elevation or reconstruction activity so that you can re-occupy the property within 12 months of receiving an award.
- 2. You must comply with all applicable building codes, elevation standards, building permits in order to elevate to the Base Flood Elevation (BFE) or Advisory Base Flood Elevation (ABFE), whichever is higher.
- 3. You must maintain adequate flood insurance as required by the National Flood Insurance Program (NFIP).
- 4. If your home was demolished and you are reconstructing a new home, your new home cannot be more than 10% larger in square footage than your original damaged home.

Note: If you began the elevation or reconstruction of your home prior to 00/00/0000 and are interested in receiving OCD-DRU HMGP funds, please contact a Mitigation Analyst as soon possible to discuss your eligibility.

Page 2, FEMA Clearance to initiate work on mitigation activity

The OCD-DRU HMGP was created to help cover eligible costs of elevation and reconstruction that were not covered by other programs such as your flood insurance Increased Cost of Compliance (ICC), the Road Home's Compensation Award, and the Road Home's Elevation Incentive Award. If you have already received such funds, they may be considered a "duplication of benefits" by the Federal government and those funds may be subtracted from the amount you receive through the OCD-DRU HMGP. For example, if your elevation costs \$90,000 and you have qualified for \$50,000 in elevation money through other programs, OCD-DRU HMGP can pay up to \$40,000, the difference not covered by those other programs. The maximum amount one can receive is up to \$100,000 per eligible household.

The OCD-DRU HMGP is a reimbursement program, which means that as you complete work on your home, you will submit items such as receipts, canceled checks, invoices, or other proof of payment documenting the costs. Program staff will review this documentation and determine whether you are able to be paid back for eligible expenses. Please keep any contracts, receipts, invoices, as well as building permits, elevation certificates, and photos. The OCD-DRU HMGP award is issued in two payments:

- The first payment is made when we have verified that the structure has reached at least the midpoint of completion and the required documentation has been submitted. For elevation projects, the midpoint is defined as the point at which the structure is elevated. For reconstruction projects, the midpoint is defined as the completion of the framing for the structure.
- The second payment is issued once completion of the project is verified and the required documentation has been submitted.

If you are no longer interested in participating in the OCD-DRU HMGP, please completely fill out the attached *Homeowner Letter of Withdrawal* and mail the original back to OCD-DRU.

If you have questions about your project and your participation in the OCD-DRU HMGP, please contact < name > by phone at < phone number > or by email at < email address >.

Sincerely,

William Haygood Office of Community Development Hazard Mitigation Manager

Attachment

The Office of Community Development Disaster Recovery Unit does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, including auxiliary aids and services, to afford an individual with a disability an equal opportunity to participate in all services, programs and activities. Any persons requiring special needs assistance should contact a Call Center Specialist, at (877) 744-7235 at least five business days prior to any scheduled meeting. The TDD number for the hearing impaired is 1-800-846-5277. Additional information regarding the use of the Louisiana Relay service can be found at the following link: http://www.hamiltonrelay.com/states/la_howto.htm.

Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program

Homeowner Letter of Withdrawal

If you no longer wish to participate in the OCD-DRU Hazard Mitigation Grant Program, please fill out the information below and mail the original back to OCD at the following address. Please maintain a copy for your records.

Office of Community Development Disaster Recovery Unit ATTN: Withdrawal P.O. Box 5098 Baton Rouge, Louisiana 70821-5098

☐ I am no longer interested in participating. Please application.	remove me from	the OCD Hazard	Mitigation Grant	
Please help us understand why you no longer are inte	rested.			
☐ The cost to elevate my home is still too expensive, even with HMGP assistance.				
☐ I did not (or cannot) meet the requirements of the Program.				
☐ I have received sufficient funding from other	sources.			
☐ I have sold my home.				
☐ Other:				
Applicant or Co-Applicant Name	Road Home	Applicant Numbe	er	
Applicant or Co-Applicant Signature	Date			
Property Address	City	Parish	Zip	
() Home Phone	() Cell Phone			
		YES NO	.	
Are you signing as an agent with the Power of Attorney for If signing as agent with Power of Attorney (POA):	or an applicant?	YES NO	,	
Agent Name (Person with POA)				
Agent Signature	Date			



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana
Division of Administration
Office of Community Development
Disaster Recovery Unit

April 21, 2009

Jane Doe 123 Sesame St. New Orleans, LA 90210 Road Home ID: 06HH000000

Subject: FEMA Clearance to initiate work on mitigation activity

Dear Homeowner:

We are pleased to inform you that your home at 1000 Damaged Street, New Orleans, LA 70000, has undergone environmental and historic preservation reviews and has received formal clearance from FEMA for you to begin work on your mitigation activity. Being cleared is the essential first step for participation in the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP).

The purpose of the OCD-DRU HMGP is to assist you with the cost of elevating or reconstructing your home damaged by Hurricane Katrina or Hurricane Rita. The process of elevating involves lifting your current structure above the recommended flood plain level. Reconstructing in this program does not mean repairing your home; it means demolishing the structure (if warranted) and rebuilding a new home on the same lot.

It is strongly recommended by OCD-DRU that you speak with one of our Mitigation Analysts before you begin work, as there are specific requirements you must meet for elevating your home, and other requirements for reconstructing your home. Some of those requirements are:

- 1. You must complete the elevation or reconstruction activity so that you can re-occupy the property within 12 months of receiving an award.
- 2. You must comply with all applicable building codes, elevation standards, building permits in order to elevate to the Base Flood Elevation (BFE) or Advisory Base Flood Elevation (ABFE), whichever is higher.
- 3. You must maintain adequate flood insurance as required by the National Flood Insurance Program (NFIP).
- 4. If your home was demolished and you are reconstructing a new home, your new home cannot be more than 10% larger in square footage than your original damaged home.

Note: If you began the elevation or reconstruction of your home after March 16, 2008 and are interested in receiving OCD-DRU HMGP funds, please contact a Mitigation Analyst as soon possible to discuss your eligibility.

Page 2, FEMA Clearance to initiate work on mitigation activity

The OCD-DRU HMGP was created to help cover eligible costs of elevation and reconstruction that were not covered by other programs such as your flood insurance Increased Cost of Compliance (ICC), the Road Home's Compensation Award, and the Road Home's Elevation Incentive Award. If you have already received such funds, they may be considered a "duplication of benefits" by the Federal government and those funds may be subtracted from the amount you receive through the OCD-DRU HMGP. For example, if your elevation costs \$90,000 and you have qualified for \$50,000 in elevation money through other programs, OCD-DRU HMGP can pay up to \$40,000, the difference not covered by those other programs. The maximum amount one can receive is up to \$100,000 per eligible household.

The OCD-DRU HMGP is a reimbursement program, which means that as you complete work on your home, you will submit items such as receipts, canceled checks, invoices, or other proof of payment documenting the costs. Program staff will review this documentation and determine whether you are able to be paid back for eligible expenses. Please keep any contracts, receipts, invoices, as well as building permits, elevation certificates, and photos. The OCD-DRU HMGP award is issued in two payments:

- The first payment is made when we have verified that the structure has reached at least the midpoint of completion and the required documentation has been submitted. For elevation projects, the midpoint is defined as the point at which the structure is elevated. For reconstruction projects, the midpoint is defined as the completion of the framing for the structure.
- The second payment is issued once completion of the project is verified and the required documentation has been submitted.

If you are no longer interested in participating in the OCD-DRU HMGP, please completely fill out the attached *Homeowner Letter of Withdrawal* and mail the original back to OCD-DRU.

If you have questions about your project and your participation in the OCD-DRU HMGP, please contact < name > by phone at < phone number > or by email at < email address >.

Sincerely,

William Haygood Office of Community Development Hazard Mitigation Manager

Attachment

The Office of Community Development Disaster Recovery Unit does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, including auxiliary aids and services, to afford an individual with a disability an equal opportunity to participate in all services, programs and activities. Any persons requiring special needs assistance should contact a Call Center Specialist, at (877) 744-7235 at least five business days prior to any scheduled meeting. The TDD number for the hearing impaired is 1-800-846-5277. Additional information regarding the use of the Louisiana Relay service can be found at the following link: http://www.hamiltonrelay.com/states/la_howto.htm.

Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program

Homeowner Letter of Withdrawal

If you no longer wish to participate in the OCD-DRU Hazard Mitigation Grant Program, please fill out the information below and mail the original back to OCD at the following address. Please maintain a copy for your records.

> Office of Community Development Disaster Recovery Unit ATTN: Withdrawal P.O. Box 5098 Baton Rouge, Louisiana 70821-5098

$\hfill \square$ I am no longer interested in participating. Please remove me fr	from the OCD Hazard Mitigation Grant application.	
Please help us understand why you no longer are interested.		
☐ The cost to elevate my home is still too expensive, even w	with HMGP assistance.	
☐ I did not (or cannot) meet the requirements of the Program	am.	
☐ I have received sufficient funding from other sources.		
☐ I have sold my home.		
☐ Other:		
		
Applicant or Co-Applicant Name Road	ad Home Applicant Number	
Applicant or Co-Applicant Signature Date	e	
Property Address	City Parish Zi	ip
()	()	
Home Phone	Cell Phone	
Are you signing as an agent with the Power of Attorney for an applicant' If signing as agent with Power of Attorney (POA):	nt? YES NO	
Agent Name (Person with POA)		
Agent Signature	Date	



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana
Division of Administration
Office of Community Development
Disaster Recovery Unit

Apri 21, 2009

Jane Doe 123 Sesame St. New Orleans, LA 90210 Road Home ID: 06HH000000

Subject: FEMA V-Zone Clearance to initiate work on elevation

Dear Homeowner:

We are pleased to inform you that your home at 1000 Damaged Street, New Orleans, LA 70000, has undergone environmental and historic preservation reviews and has received formal clearance from FEMA for you to begin work on your elevation. Being cleared is the essential first step for participation in the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP).

Your property is located in a Velocity Zone (V-Zone) as determined by current FEMA flood maps. Because it is in a V-Zone, FEMA only allows the elevation of an existing home. Rebuilding a completely new home on the same lot (called "Reconstruction" in this Program) is not allowed in a V-Zone.

The purpose of the OCD-DRU HMGP is to assist you with the cost of elevating your home damaged by Hurricane Katrina or Hurricane Rita. The process of elevating involves lifting your current structure above the recommended flood plain level.

It is strongly recommended by OCD-DRU that you speak with one of our Mitigation Analysts before you begin work, as there are specific requirements you must meet for elevating your home. Some of those requirements are:

- 1. You must complete the elevation so that you can re-occupy the property within 12 months of receiving an award.
- 2. You must comply with all applicable building codes, elevation standards, building permits in order to elevate to the Base Flood Elevation (BFE) or Advisory Base Flood Elevation (ABFE), whichever is higher.
- 3. You must maintain adequate flood insurance as required by the National Flood Insurance Program (NFIP).

Note: If you began the elevation of your home prior to 00/00/0000 and are interested in receiving OCD-DRU HMGP funds, please contact a Mitigation Analyst as soon possible to discuss your eligibility.

Page 2, FEMA V-Zone Clearance to initiate work on elevation

The OCD-DRU HMGP was created to help cover eligible costs of elevation that were not covered by other programs such as your flood insurance Increased Cost of Compliance (ICC) and the Road Home's Elevation Incentive Award. If you have already received such funds, they may be considered a "duplication of benefits" by the Federal government and those funds will be subtracted from the amount you receive through the OCD-DRU HMGP. For example, if your elevation costs \$90,000 and you have qualified for \$50,000 in elevation money through other programs, OCD-DRU HMGP can pay up to \$40,000, the difference not covered by those other programs. The maximum amount one can receive is up to \$100,000 per eligible household.

The OCD-DRU HMGP is a reimbursement program, which means that as you complete work on your home, you will submit items such as receipts, canceled checks, invoices, or other proof of payment documenting the costs. Program staff will review this documentation and determine whether you are able to be paid back for eligible expenses. Please keep any contracts, receipts, invoices, as well as building permits, elevation certificates, and photos. The OCD-DRU HMGP award is issued in two payments:

- The first payment is made when we have verified that the structure has reached at least the midpoint of completion and the required documentation has been submitted. For elevation projects, the midpoint is defined as the point at which the structure is elevated.
- The second payment is issued once completion of the project is verified and the required documentation has been submitted.

If you are no longer interested in participating in the OCD-DRU HMGP, please completely fill out the attached Homeowner Letter of Withdrawal and mail the original back to OCD-DRU.

If you have questions about your project and your participation in the OCD-DRU HMGP, please contact < name > by phone at <phone number> or by email at <email address>.

Sincerely,

William Haygood Office of Community Development Hazard Mitigation Manager

Attachment

The Office of Community Development Disaster Recovery Unit does not discriminate on the basis of race, color, national origin, sex, age, religion or disability, and provides, upon request, reasonable accommodation, including auxiliary aids and services, to afford an individual with a disability an equal opportunity to participate in all services, programs and activities. Any persons requiring special needs assistance should contact a Call Center Specialist, at (877) 744-7235 at least five business days prior to any scheduled meeting. The TDD number for the hearing impaired is 1-800-846-5277. Additional information regarding the use of the Louisiana Relay service can be found at the following link: http://www.hamiltonrelay.com/states/la_howto.htm.

> Office of Community Development **Disaster Recovery Unit** Hazard Mitigation Grant Program

Homeowner Letter of Withdrawal

If you no longer wish to participate in the OCD-DRU Hazard Mitigation Grant Program, please fill out the information below and mail the original back to OCD at the following address. Please maintain a copy for your records.

Office of Community Development ATTN: Withdrawal Disaster Recovery Unit P.O. Box 5098 Baton Rouge, Louisiana 70821-5098

☐ I am no longer interested in participating. Please	remove n	ne from the OC	D Hazard Mitigation	Grant application.
Please help us understand why you no longer are inter	rested.			
☐ The cost to elevate my home is still too expe	ensive, ev	en with HMGP	assistance.	
☐ I did not (or cannot) meet the requirements of	of the Pro	gram.		
☐ I have received sufficient funding from other	r sources.			
☐ I have sold my home.				
☐ Other:				
				·
-				
Applicant or Co-Applicant Name	_	Road Home A	Applicant Number	
Applicant or Co-Applicant Signature	_ Date			
Applicant of Co-Applicant Signature	Date			
Property Address	_	City	Parish	Zip
() Home Phone	_	() Cell Phone		
Home I none		Cell I lione		
Are you signing as an agent with the Power of Attorney fo If signing as agent with Power of Attorney (POA):	r an appli	cant? YE	S NO	
in signing as agent with Fower of Attorney (FOA).				
Agent Name (Person with POA)	_			
Agent Signature	_	Date		
15011 Digitature		Date		

Exhibit 3: WIP Collection Form

WIP Data Collection Form Road Home Application Number: Property Address:_ Indicate documentation submitted to verify work was initiated between the dates of the events and March 16, 2008 (attach copies of supporting documentation): _______ Invoices showing the actual dates of physical work of the miligation activities; Signed contractor statement certifying the date the mitigation activity was initiated on site; Property owner's statement certifying that mitigation activity was performed by self and the date the mitigation activity was initiated. This statement must be accompanied by a capy of the building permit obtained for the activity; Inspection report by the local building official dated no later than March 16, 2008; or Other, please describe: Isubject to FEMA approval) Indicate documentation submitted to confirm the structure or facility was damaged from the event (attach copies of supporting documentation): Insurance claims: Inspection report completed after the event; Proof of assistance through FEMA's Individual Assistance or Public Assistance Program: Dated photographs; and/or Flood data verifying inundation; Other, please describe: (subject to FEM 4 approval) Indicate documentation submitted to confirm expenditures (attach copies of supporting documentation); Dated receipts: Dated invoices marked paid; Cancelled checks accompanied by corresponding invoices: Payroll records; or Other, please describe : (subject to FEMA approval) HMGP -Disaster Specific (DR-1603 & DR-1607) Limited Exception for Retroactive Approvals

BOBBY JINDAL GOVERNOR



ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration Office of Community Development

Exhibit 5: Conditional Award Letter

March 9, 2009

Homeowner 1234 Damaged Street New Orleans, LA 70125 Road Home ID: 06HH123456

SUBJECT: You are eligible for HMGP Elevation funding

Dear Ms. Homeowner:

We are pleased to inform you that you are eligible to receive money through the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP). Based on the information you provided, you qualify for up to \$47,637.30 in HMGP funds to help pay for the elevation of your home.

Please read this letter carefully for full details.

The OCD-DRU HMGP was created to help Road Home Option One homeowners like you. We understood that many homeowners could not afford to elevate their homes even if they combined possible Road Home Elevation Incentive Award money and flood insurance elevation money (e.g., Increased Cost of Compliance). That is why the OCD-DRU HMGP program was created: to provide additional money to help you elevate your home.

The OCD-DRU HMGP is separate from the Road Home elevation program and other programs, so please keep your paperwork for HMGP separate to avoid confusion. When you have questions about HMGP, be sure you are contacting us at the addresses and phone numbers listed later in this letter.

It is also important for you to understand that HMGP is a *reimbursement* program. We cannot give you money before you begin your project (because of federal restrictions on the money used in this program). You must save your invoices and receipts. You receive money from us in two steps. First, we pay you up to half the money when your home is lifted into the air and you have provided the proper documents and receipts. We call that the Midpoint Payment. Then, when everything is finished and inspected, we will pay you the remaining half of the money you qualify for (the Final Payment).

You are under no obligation to the OCD-DRU Hazard Mitigation Grant Program until you receive the Midpoint Payment. By accepting that money, you are agreeing to finish your elevation within the next 12 months. Of course, at all times you are responsible for the accuracy of the information you provide

Page 2 - You are eligible for HMGP Elevation funding

to us, and for ensuring that the money you get from OCD-DRU HMGP is not a duplication of benefits you received from other programs.

If you agree to these terms, please complete "Attachment 2" (Acceptance of OCD-DRU HMGP Award and Conditions) and return it to us as soon as possible. We cannot process any payments until we receive this completed form. If you do not want to accept the grant money and no longer desire to participate in our program, please fill out "Attachment 3" (Withdrawal Form).

If you have any questions, please contact your Mitigation Analyst < MA's Name > at < MA's Phone Number > or by email at < MA's email address >. If you are hearing impaired, the TDD number is 1-800-846-5277.

Again, please return Attachment 2 if you want to participate in the OCD-DRU HMGP program, or return Attachment 3 if you want to withdraw your application. Either way, mail the attachment with your original signature (not a copy) to:

Office of Community Development
Disaster Recovery Unit
Hazard Mitigation Grant Program
Attn: <MA's Name>
P.O. Box 5098
Baton Rouge, LA 70821-5098

Sincerely,

William Haygood Hazard Mitigation Manager Office of Community Development

<Attachments>

Attachment 1

Factors Used to Calculate Benefits

Please review this attachment which provides information about your calculated HMGP award. These numbers are based on information you provided to ODC-DRU HMGP (i.e. cancelled checks, paid invoices, receipts, etc) and information provided by other sources. Because FEMA will not allow the reimbursement of costs already covered by other sources intended for the same purpose (i.e. elevation), any insurance payments, ICC awards and applicable Road Home Program grants are considered a duplication of benefits (DOB). These are deducted from your Total Project Cost.

Please carefully review the information that follows and notify OCD-DRU HMGP immediately if the information listed is inaccurate. We can be contacted by telephone toll free at 1-877-744-7234 or via email at hazardmitigation@la.gov.

HMGP Award Calculation for Elevation Projects

Total Project Cost (TPC)*	\$65,000.00
- Road Home Elevation Incentive	- \$30,000.00
- ICC Payments for elevation	<mark>- \$0.00</mark>
TPC Remaining after subtracting other money received:	\$35,000.00
Potential HMGP Award**	\$35,000.00

NOTE: The Midpoint Payment Award is \$17,500.00.

^{*} Total Project Cost (TPC) is determined by reviewing the receipts, paid invoices, and cancelled checks provided by the homeowner. TPC is then calculated by totaling the expenses associated with the elevation project that are eligible for reimbursement under FEMA HMGP Guidelines.

^{**} The HMGP Award is capped at \$100,000.

Attachment 2

Acceptance of OCD-DRU HMGP Award and Conditions

Please review this attachment carefully. You must meet certain Program. If you accept an award from the program, the mitigat not meet these guidelines, you will be required to return the modamaged residence. Please check all of the boxes that apply to	tion activity will be reconey. This attachment	quired to meet certain guideling	es. If you do
I am an eligible applicant of the Road Home Program.			
I have chosen Option 1 under the Road Home Program.			
I still own the home for which I applied for Road Home ass	sistance.		
I assure that all documentation used in the calculation of me for the purpose of my structure's designated mitigation measures.		d the costs were	
If any of the four statements above do not apply to you, please	explain why:		
By accepting an OCD-DRU HMGP award, I understand I am of	obligated to meet the fo	llowing requirements:	
To complete the elevation activity so that I can reoccupy th award. In doing so, the mitigated structure will meet the rec Program as set forth by FEMA, the Governor's Office of H.	quirements of the Haza	rd Mitigation Grant	
2. To comply with all applicable building codes, elevation stan the Base Flood Elevation or FEMA designated Advisory Ba			
3. To maintain adequate flood insurance as required by the Nat	ional Flood Insurance	Program (NFIP).	
Applicant &Co-Applicant NAME (if applicable)	Road Home ID	number	
Applicant &Co-Applicant Signature	Date		
Property Address Code	City	Parish	Zip
If you are signing as agent with Power of Attorney (POA):			
Agent NAME (Person with POA)			
Agent SIGNATURE	Date		

Homeowner Letter of Withdrawal

If you no longer wish to participate in the State Hazard Mitigation Grant Program, please fill out the information below and mail this form to OCD using the address below. Please be sure to maintain a copy for your records.

Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program Attn: MA's Name P.O. Box 5098

Baton Rouge, LA 70821-5098

I am no longer interested in participating. Please reprogram application.	move me from the OCD-DRU Haza	ard Mitigation Grant	
Reason for withdrawing from the Program	n:		
Decided not to elevate Received additional insurance money (or other duple Do not want to comply with covenants Other (please state reason):			
Applicant &Co-Applicant NAME (if applicable)	Road Home ID num	ber	
Applicant &Co-Applicant Signature	Date		
Property Address Code	City	Parish	Zip
()Home Phone	Cell Phone		
Are you signing as an agent with Power of Attorney for	an applicant? YES NO		
If you are signing as agent with Power of Attorney (PO	A):		
Agent NAME (Person with POA)			
Agent SIGNATURE	 Date		

BOBBY JINDAL GOVERNOR



ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development

March 9, 2009

Homeowner 1234 Damaged Street New Orleans, LA 70125 Road Home ID: 06HH123456

SUBJECT: You are eligible for HMGP Reconstruction funding

Dear Ms. Homeowner:

We are pleased to inform you that you are eligible to receive money through the Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program (HMGP). Based on the information you provided, you qualify for up to \$38,437.30 in HMGP funds to help pay for the Reconstruction of your home. For the purpose of our program, Reconstruction means demolishing the old house and building a new house on the same lot that is elevated to the proper level.

Please read this letter carefully for full details.

The OCD-DRU HMGP was created to help Road Home Option One homeowners like you. We understood that many homeowners could not afford to reconstruct their homes even if they combined possible Road Home Elevation Incentive Award money and hazard insurance money. That is why the OCD-DRU HMGP program was created: to provide additional money to help you reconstruct your home.

The OCD-DRU HMGP is separate from the Road Home elevation program and other programs, so please keep your paperwork for HMGP separate to avoid confusion. When you have questions about HMGP, be sure you are contacting us at the addresses and phone numbers listed later in this letter.

It is also important for you to understand that HMGP is a *reimbursement* program. We cannot give you money before you begin your project (because of federal restrictions on the money used in this program). You must save your invoices and receipts. You receive money from us in two steps. First, we pay you up to half the money when your new home is framed out and you have provided the proper documents and receipts. We call that the Midpoint Payment. Then, when everything is finished and inspected, we will pay you the remaining half of the money you qualify for (the Final Payment).

You are under no obligation to the OCD-DRU Hazard Mitigation Grant Program until you receive the Midpoint Payment. By accepting that money, you are agreeing to finish your reconstruction within the

Page 2 - You are eligible for HMGP Reconstruction funding

next 12 months. Of course, at all times you are responsible for the accuracy of the information you provide to us, and for ensuring that the money you get from OCD-DRU HMGP is not a duplication of benefits you received from other programs.

If you agree to these terms, please complete "Attachment 2" (Acceptance of OCD-DRU HMGP Award and Conditions) and return it to us as soon as possible. We cannot process any payments until we receive this completed form. If you do not want to accept the grant money and no longer desire to participate in our program, please fill out "Attachment 3" (Withdrawal Form).

If you have any questions, please contact your Mitigation Analyst <MA's Name> at <MA's Phone Number>or by email at <MA's email address>. If you are hearing impaired, the TDD number is 1-800-846-5277.

Again, please return Attachment 2 if you want to participate in the OCD-DRU HMGP program, or return Attachment 3 if you want to withdraw your application. Either way, mail the attachment with your original signature (not a copy) to:

Office of Community Development
Disaster Recovery Unit
Hazard Mitigation Grant Program
Attn: <MA's Name>
P.O. Box 5098
Baton Rouge, LA 70821-5098

Sincerely,

William Haygood Hazard Mitigation Manager Office of Community Development

<Attachments>

Factors Used to Calculate Benefits

Please review this attachment which provides information about your calculated HMGP award. These numbers are based on information you provided to ODC-DRU HMGP (i.e. cancelled checks, paid invoices, receipts, etc) and information provided by other sources. Because FEMA will not allow the reimbursement of costs already covered by other sources intended for the same purpose (i.e. reconstruction), any insurance payments, ICC awards and applicable Road Home Program grants are considered a duplication of benefits (DOB). These are deducted from your Total Project Cost.

Please carefully review the information that follows and notify OCD-DRU HMGP immediately if the information listed is inaccurate. We can be contacted by telephone toll free at 1-877-744-7234 or via email at hazardmitigation@la.gov.

HMGP Award Calculation for Reconstruction Projects

Total Project Cost (TPC)*	\$364,094.90
- Hazard Insurance	- \$3,037.60
- FEMA IA (for home repair)	<mark>- \$0.00</mark>
- Road Home Elevation Incentive	- \$3,970.00
- Flood Insurance	- \$139,000.00
- ICC Payments for elevation	- \$24,420.00
- Road Home Compensation Grant	- \$146,030.00
TPC remaining after subtracting other money received	\$38,437.30
Potential HMGP Award**	\$38,437.30

NOTE: The Midpoint Payment Award is \$19,218.65.

^{*} Total Project Cost (TPC) is determined by reviewing the receipts, paid invoices, and cancelled checks provided by the homeowner. TPC is then calculated by totaling the expenses associated with the reconstruction project that are eligible for reimbursement under FEMA HMGP Guidelines.

^{**} The HMGP Award is capped at \$100,000.

Acceptance of OCD-DRU HMGP Award and Conditions

Please review this attachment carefully. You must meet certain eligibility requirements to participate in the OCD-DRU HMGP Program. If you accept an award from the program, the mitigation activity will be required to meet certain guidelines. If you do not meet these guidelines, you will be required to return the money. This attachment should be completed by the owner(s) of the damaged residence. Please check all of the boxes that apply to your situation. I am an eligible applicant of the Road Home Program. I have chosen Option 1 under the Road Home Program. I still own the home for which I applied for Road Home assistance. I assure that all documentation used in the calculation of my award is accurate, and the costs were for the purpose of my structure's designated mitigation measure (elevation). If any of the four statements above do not apply to you, please explain why: By accepting an OCD-DRU HMGP award, I understand I am obligated to meet the following requirements: 4. To complete the elevation activity so that I can reoccupy the property within 12 months of receiving an award. In doing so, the mitigated structure will meet the requirements of the Hazard Mitigation Grant Program as set forth by FEMA, the Governor's Office of Homeland Security (GOHSEP) and the OCD-5. To comply with all applicable building codes, elevation standards, and building permits in order to elevate to the Base Flood Elevation or FEMA designated Advisory Base Flood Elevation, whichever is higher. 6. To maintain adequate flood insurance as required by the National Flood Insurance Program (NFIP). Applicant &Co-Applicant NAME (if applicable) Road Home ID number Applicant & Co-Applicant Signature Date Property Address City Parish Zip Code If you are signing as agent with Power of Attorney (POA): Agent NAME (Person with POA)

Date

Agent SIGNATURE

Homeowner Letter of Withdrawal

If you no longer wish to participate in the State Hazard Mitigation Grant Program, please fill out the information below and mail this form to OCD using the address below. Please be sure to maintain a copy for your records.

Office of Community Development Disaster Recovery Unit Hazard Mitigation Grant Program Attn: MA's Name P.O. Box 5098

Baton Rouge, LA 70821-5098

I am no longer interested in participating. Please remove Program application.	re me from the OCD-DRU Ha	zard Mitigation Grant	
Reason for withdrawing from the Program:			
☐ Decided not to elevate ☐ Received additional insurance money (or other duplicated Do not want to comply with covenant	te assistance)		
Other (please state reason):			
Applicant &Co-Applicant NAME (if applicable)	Road Home ID nur	mber	
Applicant &Co-Applicant Signature	Date		
Property Address Code	City	Parish	Zip
()	()		
Home Phone	Cell Phone		
Are you signing as an agent with Power of Attorney for an	applicant? YES NO)	
If you are signing as agent with Power of Attorney (POA):			
Agent NAME (Person with POA)			
Agent SIGNATURE	Date		

GLOBAL MATCH

"Global Match" generally refers to a non-federal contribution derived from several non-federally funded projects that are pooled together to meet a grant award match commitment. "Global Match" may also apply when a single non-federally funded project is used to fulfill the match requirement for one or more federally funded projects (as is the case with the OCD-DRU HMGP and GOHSEP's 'traditional' HMGP program). Generally, "Global Match" is used to fulfill the 25% or greater local and state match required by FEMA's Hazard Mitigation Grant Program

Suggested Calculation (RECONSTRUCTION)		Suggested Calculation (ELEVATION)
TPC	\$407,546	TPC \$70,130
(Less DOB deductions) RH Grants Compensation Hazard Insurance	(\$150,000) (\$16,604)	(Less DOB Deductions) ICC (\$30,000)
Flood Insurance	(\$80,000)	TPC less DOB = Potential HMGP Award \$40,130 HMGP Award (current cap of
ICC	(\$30,000)	\$100k) \$40,130
TPC less DOB = Potential HMGP Award HMGP Award (current cap of	\$130,942	Global Match Calculation
\$100k)	\$100,000	HMGP Award \$40,130 Federal and State Share
Global Match Calculation		(HMGP Award/.75) \$53,507
HMGP Award Federal and State Share	\$100,000	TPC \$70,130
(HMGP Award/.75)	\$133,333	Less Federal and State Share (\$53,507)
TPC Less (Fed & State)	\$407,546 (\$133,333)	Homeowner Contribution to Global Match \$16,623
Homeowner Contribution to Global Match	\$274,213	



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development

Disaster Recovery Unit

February 3, 2009

Jane Doe 123 Sesame St. New Orleans, LA 90210 Road Home ID: 06HH000000

SUBJECT: Hazard Mitigation Grant Program Award Determination

Dear Ms. Doe:

The Office of Community Development Disaster Recovery Unit (OCD-DRU) Hazard Mitigation Grant Program has reviewed your application for assistance for the property located at 123 Sesame St., New Orleans, Louisiana 90210. You requested assistance for the reconstruction of your home.

The Hazard Mitigation Grant Program has reviewed your file. At this time, the Total Project Cost provided by you does not exceed the total award amount(s) received from other funding entities (ICC, Flood and/or Hazard Insurance, Road Home Grants, Road Home Elevation Incentive, and/or FEMA – Home Repair). The compensation you received from programs must be considered when calculating your Total Project Cost. The formula we used to calculate your award total is:

\$225,645.27 – Total Project Cost - <u>\$332,890.00 – Total Deductions</u> (\$107,244.73)

Please see Attachment 1 for details regarding your award calculation.

If you disagree with the result of your evaluation, you may request to have your case reviewed by the Hazard Mitigation Appeals Section.

□ I accept the Hazar	rd Mitigation Grant Pro	ogram decision.		
□ I do not accept th Section.	e Hazard Mitigation Gr	ant Program decision and request my fi	le be reviev	wed by the Appeals
Applicant's Signature	 Date	Co-Applicant's Signature	Date	

John Q Public Office of Community Development Mitigation Analyst

Page 2, HMGP Award Determination

William Haygood Office of Community Development Hazard Mitigation Manager

Exhibit 7: Midpoint Payment Cover Sheet(s)/Final Payment Cover Sheet(s)

	REQUEST FOR MIDPOINT PA	YMENT (ELEVATION)
ROAI	O HOME ID	
	ICANT NAME	
CO-A	PPLICANT NAME	
DAM	AGED ADDRESS	
PROJ.	ECT TYPE	
PAYN	MENT STATUS	MIDPOINT
DISA	STER (1603 OR 1607)	
	PROGRAM ELIC	GIBILITY
TAB	ITEM:	STATUS:
1	ELIGIBLE RH APPLICANT	
2	SELECTED RH OPTION 1	
3	OWNERSHIP AT THE TIME OF EVENT	
5	STILL OWN HOME ELIGIBLE FOR RH BENEFITS	
5	HOME LOCATED IN ABFE	FINAL PROM
	REQUIRED DOCUM	IENTATION
6	Signed VPA	
	Signed & Notarized Homeowner Covenant and	
_	Covenant Rider (Note: Rider will not be recorded at	
7	the time of mid-point payment.)	
8	Building Permit	
	Total Project Cost (TPC) Summary and Supporting	
9	Documents Parant Summers and Paranta Pagaired Thus Fare	
10	Payout Summary and Payouts Received Thus Far:	
11	RH ELEVATION INCENTIVE	
12	WIP Data Collection Form and Documentation	
	Construction Start Verification	
	(Verifying projects not approved as "WIP" did not	Date Work Initiated:
N/A	initiate construction prior to FEMA clearance)	Date Cleared by FEMA:
	Midpoint Inspection Photos	
13	(Verifying the 50% completion requirements)	
14	Elevation Certificate	
	SUPPORTING DOCU	MENTATION
15	Approved Building Plans	
16	Proof of Current Flood Insurance	
	HMGP AWARD CA	LCULATION
TOTA	AL PROJECT COST	
	ICC	
	RH ELEVATION INCENTIVE	
POTE	NTIAL HMGP AWARD	\$0.00
	P AWARD BASED ON CURRENT CAP (UP TO 100K)	\$0.00
	OINT PAYMENT	\$0.00
MITIO	GATION ANALYST	1

Note: Hazard Insurance, Flood Insurance, and RH Compensation are not for Elevation costs and are therefore not included.

	REQUEST FOR MIDPOINT PAYMENT	(RECONSTRUCTION)
ROAL) HOME ID	
	ICANT NAME	
CO-A	PPLICANT NAME	
DAM	AGED ADDRESS	
PROJ	ECT TYPE	
	MENT STATUS	MIDPOINT
DISAS	STER (1603 OR 1607)	
	PROGRAM ELIGIBII	
	ITEM:	STATUS:
2	ELIGIBLE RH APPLICANT SELECTED RH OPTION 1	
3	OWNERSHIP AT THE TIME OF EVENT	
4	STILL OWN HOME ELIGIBLE FOR RH BENEFITS	
5	HOME LOCATED IN ABFE	
6	VERIFICATION ELEVATION NOT FEASIBLE FOR STRUCTURE	
	ELIGIBILITY PER SQ FT	
7	ORIGINAL SQ FT:	
8	NEW SQ FT:	
	DIFFERENCE IN SQ FT:	
	REQUIRED DOCUMENT	TATION
9	Signed VPA for Reconstructions	
	Signed & Notarized Homeowner Covenant and Covenant	
	Rider (Note: Rider will not be recorded at the time of mid-	
10	point payment.)	
11	Building Permit	
	Total Project Cost (TPC) Summary and Supporting Documents	
12		
13	Payout Summary and Payouts Received Thus Far:	
14 15	RH COMPENSATION	
16	RH ELEVATION INCENTIVE HAZARD INSURANCE	
17	FLOOD INSURANCE	
18	FEMA IA (FOR HOME REPAIR)	
19	ICC	
20	WIP Data Collection Form and Documentation	
	Construction Start Verification (Verifying	
	projects not approved as "WIP" did not initiate construction	Date Work Initiated:
N/A	prior to FEMA clearance)	Date Cleared by FEMA:
	Midpoint Inspection Photos (Verifying	
21	the 50% completion requirements)	
22	Elevation Certificate	
	SUPPORTING DOCUMEN	TATION
23	Approved Building Plans	
24	Certificate of Occupancy	
25	Proof of Current Flood Insurance	
	HMGP AWARD CALCUL	LATION
TOTA	L PROJECT COST (REFER TO TAB 4)	
	RH COMPENSATION	
	RH ELEVATION INCENTIVE	
	HAZARD INSURANCE	
	FLOOD INSURANCE FEMA IA (FOR HOME REPAIR)	
	ICC	
DOTT		
	NTIAL HMGP AWARD	\$0.00
	P AWARD BASED ON CURRENT CAP (UP TO 100K) OINT PAYMENT	\$0.00 \$0.00
	CATION ANALYST:	\$0.00

	REQUEST FOR GLOBAL MATCH (ELEVATION)			
	-	(
	O HOME ID			
	ICANT NAME			
CO-A	PPLICANT NAME			
	AGED ADDRESS			
	ECT TYPE MENT STATUS	MIDPOINT		
	STER (1603 OR 1607)	MIDIONY		
21011	PROGRAM ELIC	CIBILITY		
TAB	ITEM:	STATUS:		
1	ELIGIBLE RH APPLICANT			
2	SELECTED RH OPTION 1			
3	OWNERSHIP AT THE TIME OF EVENT			
4	STILL OWN HOME ELIGIBLE FOR RH BENEFITS			
5	HOME LOCATED IN ABFE			
	REQUIRED DOCUM	MENTATION		
6	Signed VPA			
7	Building Permit			
	Total Project Cost (TPC) Summary and Supporting			
8	Documents			
	Payout Summary and Payouts Received Thus Far:			
9	ICC			
10	RH ELEVATION INCENTIVE			
11	WIP Data Collection Form and Documentation			
	Construction Start Verification			
	(Verifying projects not approved as "WIP" did not	Date Work Initiated:		
N/A	initiate construction prior to FEMA clearance)	Date Cleared by FEMA:		
	Midpoint Inspection Photos			
12	(Verifying the 50% completion requirements)			
13	Elevation Certificate			
	SUPPORTING DOCU	MENTATION		
14	Approved Building Plans			
15	Proof of Flood Insurance			
	HMGP AWARD CA	LCULATION		
TOTA	L PROJECT COST	\$0.00		
	ICC	\$0.00		
	RH ELEVATION INCENTIVE	\$0.00		
POTE	NTIAL HMGP AWARD	\$0.00		
HMG	P AWARD BASED ON CURRENT CAP (UP TO 100K)	\$0.00		
MIDP	OINT PAYMENT	\$0.00		
	RAL AND STATE SHARE	\$0.00		
HOM	EOWNER CONTRIBUTION TO GLOBAL MATCH	\$0.00		
MITIO	GATION ANALYST:			

Note: Hazard Insurance, Flood Insurance, and RH Compensation are not for Elevation costs and are therefore not included.

	REQUEST FOR GLOBAL MATCH (R	ECONSTRUCTION)			
ROAL	HOME ID				
APPL	ICANT NAME				
CO-A	PPLICANT NAME				
	AGED ADDRESS				
	ECT TYPE	MIDDOINE			
	MENT STATUS STER (1603 OR 1607)	MIDPOINT			
DISTI	PROGRAM ELIGIBIL	ITV			
TAR		STATUS:			
1	ITEM: ELIGIBLE RH APPLICANT	STATUS:			
2	SELECTED RH OPTION 1				
3	OWNERSHIP AT THE TIME OF EVENT				
4	STILL OWN HOME ELIGIBLE FOR RH BENEFITS				
5	HOME LOCATED IN ABFE				
6	VERIFICATION ELEVATION NOT FEASIBLE FOR STRUCTURE				
	ELIGIBILITY PER SQ FT				
7	ORIGINAL SQ FT:				
8	NEW SQ FT:				
	DIFFERENCE IN SQ FT:				
	REQUIRED DOCUMENT	ATION			
9	Signed VPA for Reconstructions				
10	Building Permit				
	Total Project Cost (TPC) Summary and Supporting Documents				
11					
12	Payout Summary and Payouts Received Thus Far:				
13	RH COMPENSATION				
14	RH ELEVATION INCENTIVE				
15 16	HAZARD INSURANCE FLOOD INSURANCE				
17	FEMA IA (FOR HOME REPAIR)				
18	ICC				
19	WIP Data Collection Form and Documentation				
	Construction Start Verification (Verifying				
	projects not approved as "WIP" did not initiate construction	Date Work Initiated:			
N/A	prior to FEMA clearance)	Date Cleared by FEMA:			
	Midpoint Inspection Photos (Verifying				
20	the 50% completion requirements)				
21	Elevation Certificate				
	SUPPORTING DOCUMEN	TATION			
22	Approved Building Plans				
23	Certificate of Occupancy				
24	Proof of Flood Insurance				
	HMGP AWARD CALCUI	LATION			
TOTA	L PROJECT COST (REFER TO TAB 9)	\$0.00			
	RH COMPENSATION	\$0.00			
	RH ELEVATION INCENTIVE	\$0.00			
	HAZARD INSURANCE	\$0.00			
	FLOOD INSURANCE	-			
	FEMA IA (FOR HOME REPAIR) ICC	\$0.00			
	icc	\$0.00			
	NTIAL HMGP AWARD	\$0.00			
	P AWARD BASED ON CURRENT CAP (UP TO 100K)	\$0.00			
MIDP	DPOINT PAYMENT \$0.00				
FEDF	RAL AND STATE SHARE	\$0.00			
	EOWNER CONTRIBUTION TO GLOBAL MATCH	\$0.00			
	EATION ANALYST:	,			

Exhibit 8: Inspection Form



OFFICE OF COMMUNITY DEVELOPMENT DISASTER RECOVERY UNIT INSPECTION FORM

Analyst Name				
Analyst Phone Number Analyst Email				
Analyst Email Date Inspection Requested				
Date Inspection Requested				
Date of Inspection:				
Inspector Name:				
Applicant ID Number:				
Applicant Name:				
Applicant Phone Number				
Type of Inspection: (Circle)	Initial	Midpoint	Final	
Property Address:				
Parish:				
Project Start Date:				
Project Type	Elevation	Reconstru	ction	
Project Status (give brief description)	Not Started	Work in Progress	Complete	
If Midpoint, is Home elevated?				
GPS Coordinates	Lat:	Long:		
BFE/ABFE Zone?				
Equipment Elevated to BFE?				
Is Project Complete	Yes:	No:		
Issue?				
Pictures	Downloaded	Viewable	Uploaded	
Was the applicant available at the time of inspection?	Yes:	No:		
MA Special Request:				
Inspector Observations:				
Inspector signature:				

*Highlighted items to be completed by the Mitigation Analyst

Exhibit 9: Project Folder Checklists

,			4/2009		
PROJECT FOLDER CHECKLIST (ELEVATION)					
Mitigation Analyst:		Region:			
Date Submitted to QC: Applicant ID:		Date QCed:			
		Damaged address:			
Applicant Name:	PROCRAM	Co-Applicant Name: ELIGIBILITY			
	Y/N	SUPPORTING DOCUMENT	MA	QC	
Eligible RH applicant?	1/24	☐ Title/ownership docs ☐ RH Closing Docs	MA	Qc.	
Selected Option 1?		□ RH Approved Grant Screen	\vdash		
Owned home at the of the storm?			-		
		☐ RH Title Search ☐ RH Approved Grant Screen (Tax match only) ☐ Self-Certification Affidavit for Ownership and Occupancy	-		
Still own home?		□ VPA	<u> </u>		
Home located in ABFE?		☐ FIRM MAP ☐ OCD Applicant Flood Database ☐ OTHER			
If any of the above responses are N		not eligible. Submit file to Supervisor/QC for review.			
		r review		-	
Observed according to the latter according to	Y/N	SUPPORTING DOCUMENT	MA	QC	
Obtained required building permits?		☐ Building permit	├──		
Began construction prior to 3/16/08? (WIP?)		☐ WIP form ☐ Supporting documentation	├──		
If File was not cleared as WIP, what date was work initiated and what date was property cleared by FEMA?		Date Work Initiated: Date Cleared by FEMA:			
Reached mid-point of project? (Both docs required)		☐ Midpoint Inspection Form and Photos ☐ Inspection Ordered			
		☐ Final Elevation Cert			
Т		CT COST (TPC)			
T 1 T. D	\$	SUPPORTING DOCUMENT	MA	QC	
Total TPC (verified)		☐ Paid Invoices ☐ Cancelled Checks	├─		
Total TPC (conditional)		☐ Contracts ☐ Estimates	├─		
Total Project Cost (Verified Costs only)	\$0.00				
	DOB DEI	DUCTIONS			
	\$	SUPPORTING DOCUMENT	MA.	QC	
RH ELEVATION INCENTIVE		□ RH Approved Grant Screen	—		
icc		☐ Bureaunet Printout ☐ Checks/payout summary from ICC not received: ☐ Bureaunet ☐ RH Approved Grant Screen ☐ NFIP/Insurance Company documentation			
Total Deductions	\$0.00				
H	MGP AWARI	CALCULATION			
TOTAL PROJECT COST	\$0.00				
TOTAL DEDUCTIONS	\$0.00				
POTENTIAL HMGP AWARD (no cap)	\$0.00				
HMGP AWARD (up to current cap of 100K)	\$0.00				
HMGP AWARD (mid-point)	\$0.00				
		H CALCULATION			
GL		H CALCULATION			
TOTAL PROJECT COST	\$0.00				
FEDERAL AND STATE SHARE	\$0.00				
HOMEOWNER CONTRIBUTION TO GLOBAL MATCH	\$0.00				
		or global match only, submit to Supervisor/QC for review.			
ITEM:	Y/N	SUPPORTING DOCUMENT	MA	QC	
A L DATA	2/21	□ VPA □ RH Covenant □ HMGP Covenant Rider	IVE E	Ψ.	
Required payment documentation?		□ W-9 (app's phone number on top) □ EFT FORM (filled out, voided check/ letter, signed by bank)			
Has all information been verified as accurate in SharePoint?		El EFT FORDI (Inied out, Voided Check/ letter, Signed by bank)			
	MAI	NOTES		'	
	063	NOTES			
	QC N	NOTES			

PROJECT FOLDER CHECKLIST (RECONSTRUCTION)					
Mitigation Analyst:		Region:			
Date Submitted to QC:		Date QCed:			
Applicant ID:		Damaged address:			
Applicant Name:		Co-Applicant Name:			
	PROGRAM E	LIGIBILITY			
This sixty DTI and in any	Y/N	SUPPORTING DOCUMENT	MA	QC	
Eligible RH applicant? Selected Option 1?		☐ Title/ownership docs ☐ RH Closing Docs ☐ RH Approved Grant Screen			
Owned home at the of the storm?		☐ RH Title Search ☐ RH Approved Grant Screen (Tax match only)			
		Self-Certification Affidavit for Ownership and Occupancy			
Still own home?		□ VPA			
Home located in ABFE?		□ FIRM MAP □ OCD Applicant Flood Database □ OTHER			
Elevation not feasible for structure? Eligible per Square Footage		Enter document type			
ORIGINAL SQ FT:		□ Appraisal □ Building Permit □ Other			
NEW SQ FT:		□ Appraisal □ Building Permit □ Other			
CHANGE IN SQ FT:		(percentage under 10% or 110%)			
If any of the above responses are "No", or if the difference in the original square for Supervisor/QC for ineligibility review.	ootage and the new	square footage is greater than 10%, applicant is not eligible and file should be submit	ted to		
Supervisor/QC for mengrouncy review.	PROJECT	REVIEW			
	Y/N	SUPPORTING DOCUMENT	MA	QC	
Obtained required building permits?		□ Building permit □ Demo permit			
Began construction prior to 3/16/08? (WIP?)		□ WIP form □ Supporting documentation		\sqcup	
If File was not cleared as WIP, what date was work initiated and what date was property cleared by FEMA?		Date Work Initiated: Date Cleared by FEMA:			
		☐ Midpoint Inspection Form and Photos ☐ Inspection Ordered	\vdash	\vdash	
Reached mid-point of project?	STAT PROJEC	☐ Final Elevation Cert ☐ Certificate of Occupancy			
TC	STAL PROJEC	T COST (TPC) SUPPORTING DOCUMENT	MA	QC	
Total TPC (verified)	,	☐ Paid Invoices ☐ Cancelled Checks		-	
Total TPC (conditional)		□ Contracts □ Estimates			
Total Project Cost (Verified Costs only)	\$0.00				
	DOB DED	UCTIONS			
	\$	SUPPORTING DOCUMENT	MA	QC	
RH GRANTS (CG and ACG)		□ RH Approved Grant Screen □ No funds received			
RH ELEVATION INCENTIVE		□ RH Approved Grant Screen □ No funds received			
HAZARD INSURANCE		☐ RH App Grant Screen ☐ Insurance company docs ☐ No funds received			
FLOOD INSURANCE		□ RH App Grant Screen □ Insurance company docs			
FEMA IA (FOR HOME REPAIR)		□ No funds received □ RH App Grant Screen □ Insurance company docs			
		□ No funds received. □ Bureaunet Printout □ Checks/payout summary from ICC	_	\vdash	
ICC		ICC not received: □ Bureaunet □ RH Approved Grant Screen			
		□ NFIP/Insurance Company documentation			
Total Deductions	\$0.00	CALCULATION			
TOTAL PROJECT COST	\$0.00	CALCULATION	Г		
TOTAL DEDUCTIONS	\$0.00				
POTENTIAL HMGP AWARD (no cap)	\$0.00				
HMGP AWARD (up to current cap of 100K)	\$0.00				
HMGP AWARD (mid-point)	\$0.00				
GLC	BAL MATCH	CALCULATION			
TOTAL PROJECT COST	±0.00		Г		
TOTAL PROJECT COST	\$0.00				
FEDERAL AND STATE SHARE	\$0.00				
HOMEOWNER CONTRIBUTION TO GLOBAL MATCH	\$0.00				
		r global match only, submit to Supervisor/QC for review. T DOCUMENTATION			
ITEM:	Y/N	SUPPORTING DOCUMENT	MA	QC	
		□ VPA for Reconstructions □ RH Covenant □ HMGP Rider			
Required payment documentation?		 □ W-9 (app's phone number on top) □ EFT FORM (filled out, voided ck/ letter, signed by bank) 			
Has all information been verified as accurate in SharePoint?					
	MA N	OTES			
	QC N	OTES			
	QC IV	SIES			

Revised 5/14/2009

Exhibit 10: HMGP Payment Package Desk Reference

	Midpoint Payment Package Desk Reference (Elevation)			
	Section 1: Applicant Data			
ROA	D HOME ID	Assigned 10 digit RH Applicant ID beginning with 06HH and ending in a unique 6 digit number sequence		
		HMGP Applicant Name (name should match RH applicant name). If POA is being used please enter		
		applicant's name and then (John Smith-POA) NOTE: For files with POA, the RH POA form will not be		
		sufficient documentation for this program. That form indicates the person has POA for RH business only.		
APPLICANT NAME		A new POA form should be requested.		
		HMGP Co-Applicant Name (name should match RH applicant name). Use only if applicable. If POA is		
		being used please enter co-applicant's name and then (John Smith-POA) NOTE: For files with POA, the		
		RH POA form will not be sufficient documentation for this program. That form indicates the person has		
CO-APPLICANT NAME		POA for RH business only. A new POA form should be requested.		
DAMAGED ADDRESS		Residence damaged by the event. Include the physical street address, city, state, and zip code		
		Indicate the mitigation activity performed by the applicant. This should be Elevation. NOTE: Elevation is		
PRO	ECT TYPE	defined as the raising of the existing structure.		
		What type of payment is being requested for this applicant? For all mid-point payment requests indicate		
PAY	MENT STATUS	"MIDPOINT". Indicate the disaster number (1603-Katrina/1607- Rita) the project was funded under. If the project is not		
DIE	STER	on a funded lists- if they were cleared but not funded- enter 1603 (substitution) or 1607 (substitution). This will depend on the storm the home was damaged by.		
עפות				
	Section 2: Program Eligibility (a	ıll items in this section should be tabbed as noted in the tab column)		
		STATUS: In this section we want to know 1) does the applicant meet this eligibility requirement and 2) what		
		document was used to verify this. NOTE: The documentation listed here as acceptable documentation is not		
		limited to this documentation. At this time these are known acceptable documentation sources, other sources will		
TAB	ITEM:	be examined on a case by case basis, and should only be used if the listed documentation is unavailable.		
		Statuss "Yes-Road Home Closing Documents"		
		Acceptable documentation: Final Disbursement Statement, File Balance Sheet, Disbursement Summary		
1	ELIGIBLE RH APPLICANT	NOTE: If the applicant has not closed on a RH grant, the RH Approved Grant Screen is acceptable		
		Status: "Yes- Road Home Approved Grant Screen"		
		Acceptable documentation: Road Home Approved Grant Screen		
2	SELECTED RH OPTION 1	NOTE: Option 1 selection should be highlighted or marked in some manner		
		Status: "Yes"- name of the documentation used for verification.		
		Acceptable documentation: Road Home Approved Grant Screen (tax match only), RH title search results.		
3	OWNERSHIP AT THE TIME OF EVENT	Refer to RH Title Job Aide		
		Status: "Yes" and the name of the documentation used for verification.		
4	STILL OWN HOME ELIGIBLE FOR RH BENEFITS	Acceptable documentation: Self-Certification Affidavit for Ownership and Occupancy; VPA		
		Status: "Yes "and the name of the documentation used for verification.		
		Acceptable documentation: OCD Applicant Flood Database; FIRM Map with ABFE overlay; Bldg permit;		
		Elevation Certificates that show the ABFE Designation		
•	HOME LOCATED IN ABFE	NOTE: ABFE designation should be highlighted or marked in some manner		
	Section 3: Required Documentation	n (all items in this section should be tabbed as noted in the tab column)		
		STATUS: In this section we want to know what documentation was for the requested documentation		
		type. NOTE: The documentation listed here as acceptable documentation is not limited to this		
		documentation. At this time these are known acceptable documentation sources, other sources will be		
TAB	ITEM:	examined on a case by case basis, and should only be used if the listed documentation is unavailable.		
		Should read "Original in Project Folder" NOTE: Mitigation Analyst should verify that original is in project		
6	SIGNED VPA	folder prior to using this statement.		
		Should read "Present". NOTE: Both the RH Covenant and the HMGP Covenant Rider are required. RH		
	Signed & Notarized Homeowner Covenant and Covenant	Covenant may be located in the closing document attachment in eGrants. The HMGP Covenant Rider is		
	Rider (Note: Rider will not be recorded at the time of mid-	provided by this office. As of Thursday, March 5, 2009 payment packages may be submitted without		
7	point payment.)	Covenant Riders until further notice.		
		Should read "Present". NOTE: The building permit should reflect the applicant's damaged residence. For		
		elevation projects, the permit that reflects "Elevation" as the project is preferred. Emergency permits are		
	Building Permit	acceptable as well.		
		Should read "Present". NOTE: The TPC should be based solely on verifiable costs. The supporting		
	Total Project Cost (TPC) Summary and Supporting	documentation should be in the order presented on the TPC Summary. There is no need to list a dollar		
9	Documents	value here as it is required in the HMGP Award Calculation section		
		left intentionally blank. No status is needed here) Note: Even if applicant did not receive any funds		
N/A	from the sources listed below, documentation must be provide			
	province			

		(The DOB report is not tabbed but it should be directly in front of the ICC verification.)
		This should reflect the document type used to verify this payment. For example "Bureaunet Printout
		Present" There is no need to list a dollar value here as it is required in the HMGP Award Calculation
		section Acceptable Documentation: Bureaunet Printout, NFIP/Insurance Company documentation,
		Approved Grant Screen from eGrants (only used if homeowner did not have any flood insurance and no
		GOHSEP-ICC report is available). NOTE: If the full 30K is not received, on the DOB Summary, please
10	ICC	indicate the reason the maximum amount was not awarded to the applicant i.e., applicant file closed.
		This should reflect the document type used to verify this payment. For example "RH Approved Grant
		Screen Printout Present". There is no need to list a dollar value here as it is required in the HMGP Award
		Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants NOTE: If the full
		30K is not received, on the DOB Summary, please indicate the reason the maximum amount was not
11	RH ELEVATION INCENTIVE	
		Should read "Present". NOTE: If FEMA cleared the structure using the WIP waiver, the WIP form and
		supporting documentation are needed. One source of documentation for each of the three sections is
		needed. Requirements are 1) documentation to show actual physical work was initiated prior to March 16,
		2008; 2) documentation to show the structure was damaged by the event; 3) documentation to verify
		expenditures. For requirement 3, invoices and dated receipts not used in the TPC Calculation cannot be
		used for this requirement. Use N/A if property was approved as a WIP, and answer the Construction
12	WIP Data Collection Form and Documentation	Start Verification question.
		If project was not cleared under the WIP waiver, please indicate what date work initiated and the date the
		property was cleared by FEMA. Work initiation is the first point at which any physical construction
		initiated on the property. Obtaining a building permit does not reflect work initiation. The date of FEMA
		clearance may be obtained from the Universe list in SharePoint. If there is no clearance date, please see
		your immediate supervisor for assistance. NOTE: There is no tab number for this item, no documentation is
N/A	Construction Start Verification	needed, just answer the required questions in the status column.
		Should read "Present". NOTE: A Midpoint Inspection is required for all properties requesting midpoint
	Midpoint Inspection Photos	payment. Both the midpoint inspection form and photos are required for the payment package. For
13	(Verifying the 50% completion requirements)	elevation projects the midpoint of the project is defined as the point at which the structure is elevated.
		Should read "Present" Dated xx/xx/xxxxx. NOTE: All midpoint payment requests are required to have
		documentation to verify the structure has been elevated to the required height. This requirement is not
		limited to the elevation certificate. For example, a parish issued dated elevation inspection report showing
44	Plaustion Cartificate	the referenced structure's initial elevation height elevation requirement and current elevation
14	Elevation Certificate	the referenced structure's initial elevation height, elevation requirement, and current elevation.
14		the referenced structure's initial elevation height, elevation requirement, and current elevation. nentation (all items should be tabbed as noted in the tab column)
14		nentation (all items should be tabbed as noted in the tab column)
14		nentation (all items should be tabbed as noted in the tab column) STATUS: In this section we want to know what documentation was for the requested documentation
14		pentation (all items should be tabbed as noted in the tab column) STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this
	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be
		STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable.
ТАВ	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have
	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.".
TAB	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not
TAB	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not
TAB	Section 4: Supporting Docum ITEM: Approved Building Plans	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate 'None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If
TAB	Section 4: Supporting Docum	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time.".
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TAB 15	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance heep provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time. ". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on
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TAB 15	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time. ". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For
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TAB 15 16 TOT.	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time.". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00
TAB 15 16 TOT.	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST ICC RH ELEVATION INCENTIVE	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time.". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value of the Total Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00 Write the dollar value of the Total Eligible Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00
15 16 TOT.	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST ICC RH ELEVATION INCENTIVE	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time. ". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value of the Total Eligible Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00 Write the dollar value of the Total Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00
TAB 15 16 TOTA POTT	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST ICC RH ELEVATION INCENTIVE ENTIAL HMGP AWARD P AWARD BASED ON CURRENT CAP (UP TO 100K)	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time." Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time. ". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value of the Total Eligible Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00 Write the dollar value of the HMGP Award the applicant is eligible to receive based on the current cap. For example, \$38,247.00 Write the dollar value of the 50% midpoint payment. This should be half of the HMGP Award based on
TAB 15 16 TOTA POTT	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST ICC RH ELEVATION INCENTIVE	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time.". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value for ICC here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value of the Total Eligible Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00 Write the dollar value of the HMGP Award the applicant is eligible to receive based on the current cap. For example, \$38,247.00 Write the dollar value of the 50% midpoint payment. This should be half of the HMGP Award based on Current Cap. For example, \$19,123.50
TAB 15 16 TOTA POTT	Section 4: Supporting Docum ITEM: Approved Building Plans Proof of Current Flood Insurance AL PROJECT COST ICC RH ELEVATION INCENTIVE ENTIAL HMGP AWARD P AWARD BASED ON CURRENT CAP (UP TO 100K)	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided indicate "None have been provided at this time.". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current, there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect current flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time.". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$98,247.00 Write the dollar value the applicant is eligible to receive or has received from Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value of the Total Eligible Project Cost minus the ICC value and the RH Elevation Incentive. For example, \$38,247.00 Write the dollar value of the HMGP Award the applicant is eligible to receive based on the current cap. For example, \$38,247.00 Write the dollar value of the 50% midpoint payment. This should be half of the HMGP Award based on Current Cap. For example, \$19,123.50 This line left intentionally blank

	Midpoint Payment Package Desk Reference (Reconstruction)
	Section 1: Applicant Data
ROAD HOME ID	Assigned 10 digit RH Applicant ID beginning with 06HH and ending in a unique 6 digit number sequence
APPLICANT NAME	HMGP Applicant Name (name should match RH applicant name). If POA is being used please enter applicant's name and then (John Smith-POA) NOTE: For files with POA, the RH POA form will not be sufficient documentation for this program. That form indicates the person has POA for RH business only. A new POA form should be requested.
	HMGP Co-Applicant Name (name should match RH applicant name). Use only if applicable. If POA is being used please enter co-applicant's name and then (John Smith-POA) NOTE: For files with POA, the RH POA form will not be sufficient documentation for this program. That form indicates the person has POA for RH business only. A new POA form should be requested.
CO-APPLICANT NAME DAMAGED ADDRESS	Residence damaged by the event. Include the physical street address, city, state, and zip code
PROJECT TYPE	Indicate the mitigation activity performed by the applicant. This should be reconstruction. NOTE: Reconstruction is defined as the demolition of the damaged structure and the replacement of that structure with a new comparable structure.
INOJECI IIIE	What type of payment is being requested for this applicant? For all mid-point payment requests indicate
PAYMENT STATUS	"MIDPOINT". Indicate the disaster number (1603-Katrina/1607-Rita) the project was funded under. If the project is not on a funded lists- if they were cleared but not funded- enter 1603 (substitution) or 1607 (substitution). This will depend on the storm the home was damaged by.
DISASTER Section :	aepend on the storm the nome was damaged by. 2: Program Eligibility (all items in this section should be tabbed as noted in the tab column)
TAB ITEM:	STATUS: In this section we want to know 1) does the applicant meet this eligibility requirement and 2) what document was used to verify this. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable.
1 ELIGIBLE RH APPLICANT	Status: "Yes-Road Home Closing Documents" Acceptable documentation: Final Disbursement Statement, File Balance Sheet, Disbursement Summary NOTE: If the applicant has not closed on a RH grant, the RH Approved Grant Screen is acceptable Status: "Yes-Road Home Approved Grant Screen"
	Acceptable documentation : Road Home Approved Grant Screen
2 SELECTED RH OPTION 1	NOTE: Option 1 selection should be highlighted or marked in some manner Status: "Yes"- name of the documentation used for verification.
3 OWNERSHIP AT THE TIME OF EVENT	Acceptable documentation: Road Home Approved Grant Screen (tax match only), RH title search results. Refer to RH Title Job Aide
4 STILL OWN HOME ELIGIBLE FOR RH	Status: "Yes"- name of the documentation used for verification. Acceptable documentation : Self-Certification Affidavit for Ownership and Occupancy; VPA
5 HOME LOCATED IN ABJE	Status: "Yes "and the name of the documentation used for verification. Acceptable documentation: OCD Applicant Flood Database; FIRM Map with ABFE overlay; Bldg permit; Elevation Certificates that show the ABFE Designation NOTE: ABFE designation should be highlighted or marked in some manner
VERIFICATION ELEVATION NOT FEA	Status: "Yes" and the name of the documentation used for verification. Acceptable documentation: Damage Assessment/Estimate/Notice of Determination from parish/city (If structure was deemed 'substantially damaged' or over 50%, no further verification is needed, if not proceed to next acceptable documentation type); RH Approved Grant Screen (verify FEMA's damage assessment of property, if 'Major/Severe' indicator reads 'major' or 'severe', no further verification is needed, if not proceed
N/A ELIGIBILITY PER SQ FT	Status: "Yes". This item is not tabbed
7	Status: "Original square footage value, living area only" Acceptable documentation: RH Appraisal, RH CAD, Appraisal from Homeowner, Original Building plans, Building permit that shows original size
8	Status: "New square footage value, living area only" NEW SQ FT: Acceptable documentation: Appraisal from Homeowner, Building plans, Building permit
	Status: "Percentage under 10% or 110%" this is the difference between the original and the new square footage. This item is not tabbed.
Section 3: R	DIFFERENCE IN SQ FIT 100 tage. In it item is not tabled. Lequired Documentation (all items in this section should be tabbed as noted in the tab column)
TAB ITEM:	STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable.
	Should read "Original in Project Folder" NOTE: Mitigation Analyst should verify that original is in project
9 SIGNED VPA for Reconstructions	folder prior to using this statement.
Signed & Notarized Homeowner Covenar (Note: Rider will not be recorded at the ti payment.)	
11 Building Permit	Emergency permits are acceptable as well.
12 Total Project Cost (TPC) Summary and St	Should read 'Present'. NOTE: The TPC should be based solely on verifiable costs. The supporting documentation should be in the order presented on the TPC Summary. The documentation should be grouped by contractor or company and then in the order of the dates the work occurred if possible. There is no need to list a dollar value here as it is required in the HMGP Award Calculation section
Payout Summary and Payouts Received T	hus Far: (This line left intentionally blank. No status is needed here) Note: Even if applicant did not receive any funds from
	This should reflect the document type used to verify this payment. For example "RH Approved Grant Screen Printour Present". There is no need to list a dollar value here as it is required in the HMGP Award Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants NOTE: If the full 30K is not received, on the DOB Summary, please indicate the reason the maximum amount was not awarded to the applicant i.e., applicant maxed out at \$150K.

14	RH COMPENSATION	This should reflect the document type used to verify this payment. For example "RH Approved Grant Screen Printout Present". There is no need to list a dollar value here as it is required in the HMGP Award Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants
15	HAZARD INSURANCE	This should reflect the document type used to verify this payment. For example "RH Approved Grant Screen Printout Present". There is no need to list a dollar value here as it is required in the HMGP Award Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants, Applicant provided insurance documentation
16	FLOOD INSURANCE	This should reflect the document type used to verify this payment. For example 'RH Approved Grant Screen Printout Present'. There is no need to list a dollar value here as it is required in the HMGP Award Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants, Applicant provided insurance
17	FEMA IA (FOR HOME REPAIR)	This should reflect the document type used to verify this payment. For example "RH Approved Grant Screen Printout Present". There is no need to list a dollar value here as it is required in the HMGP Award Calculation section. Acceptable Documentation: Approved Grant Screen from eGrants, FEMA IA (home repair) Award documentation
18	ico	This should reflect the document type used to verify this payment. For example "Bureaunet Printout Present" There is no need to list a dollar value here as it is required in the HMGP Award Calculation section Acceptable Documentation: Bureaunet Printout, NFIP/Insurance Company documentation, Approved Grant Screen from eGrants (only used if homeowner did not have any flood insurance and no GOHSEP-ICC report is available). NOTE: If the full 30K is not received, on the DOB Summary, please indicate the reason the maximum amount was not awarded to the applicant i.e., applicant file closed.
19	WIP Data Collection Form and Documentation	Should read 'Present'. NOTE: If FEMA cleared the structure using the WIP waiver, the WIP form and supporting documentation are needed. One source of documentation for each of the three sections is needed. Requirements are 1) documentation to show actual physical work was initiated prior to March 16, 2008; 2) documentation to show the structure was damaged by the event; 3) documentation to verify expenditures. For requirement 3, invoices and dated receipts not used in the TPC Calculation cannot be used for this requirement. Use N/A if property was approved as a WIP, and answer the Construction Start Verification question.
N/A	Construction Start Verification	If project was not cleared under the WIP waiver, please indicate what date work initiated and the date the property was cleared by FEMA. Work initiation is the first point at which any physical construction initiated on the property. Obtaining a building permit does not reflect work initiation. The date of FEMA clearance may be obtained from the Universe list in SharePoint. If there is no clearance date, please see your immediate supervisor for assistance. NOTE: There is no tab number for this item, no documentation is needed, just answer the required questions in the status column.
	Midpoint Inspection Photos (Verifying the 50% completion requirements)	Should read 'Present'. NOTE: A Midpoint Inspection is required for all properties requesting midpoint payment. Both the midpoint inspection form and photos are required for the payment package. For reconstruction projects the midpoint of the project is defined as the completion of the framing of the house. Should read 'Present' Dated xx/xx/xxxxx. NOTE: All midpoint payment requests are required to have documentation to verify the structure has been elevated to the required height. The requirement is not limited to the elevation certificate. If the original elevation certificate is available, include the original also.
21	Elevation Certificate	Indicate on the coversheet "Original and Final Present". Put the original first and then the final.
	Section 4: Supporting Documen	tation (all items should be tabbed as noted in the tab column)
		STATUS: In this section we want to know what documentation was for the requested documentation type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be
	ITEM: Approved Building Plans	type. NOTE: The documentation listed here as acceptable documentation is not limited to this
22		type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been
22	Approved Building Plans Certificate of Occupancy	type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided then indicate "None have been provided at this time". Should read "Present", if the certificate of occupancy has been provided by the applicant. This must be the official certificate of occupancy issued by the Parish. The form must reflect the applicant's damaged address. If
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22 23 24	Approved Building Plans Cartificate of Occupancy Proof of Current Flood Insurance AL PROJECT COST RH COMPENSATION RH ELEVATION INCENTIVE HAZARD INSURANCE FLOOD INSURANCE FEMA IA (FOR HOME REPAIR)	type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided then indicate "None have been provided at this time". Should read "Present", if the certificate of occupancy has been provided by the applicant. This must be the official certificate of occupancy issued by the Parish. The form must reflect the applicant. This must be the official certificate of occupancy has been provided at this time then indicate "Form not provided at this time". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect flood insurance coverage. If no proof has been provided at this time then indicate "None has been provided at this time". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$450,000.00 Write the dollar value the applicant is eligible to receive or has received for combined total of RH Compensation grant and Additional Compensation grant here. This number should reflect the total indicated on the DOB report. For example, \$400.000 Write the dollar value the applicant is eligible to receive or has received for Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant has received from Homeowner's Insurance for building damage. This number should reflect the total indicated on the DOB report. For example, \$65,000.00 Write the dollar value t
22 23 24 TOTA	Approved Building Plans Certificate of Occupancy Proof of Current Flood Insurance AL PROJECT COST RH COMPENSATION RH ELEVATION INCENTIVE HAZARD INSURANCE FLOOD INSURANCE FEMA IA (FOR HOME REPAIR) ICCURTIAL HMGP AWARD	type. NOTE: The documentation listed here as acceptable documentation is not limited to this documentation. At this time these are known acceptable documentation sources, other sources will be examined on a case by case basis, and should only be used if the listed documentation is unavailable. Should read "Present", if building plans have been provided by the applicant. If no building plans have been provided then indicate "None have been provided at this time". Should read "Present", if the certificate of occupancy has been provided by the applicant. This must be the official certificate of occupancy issued by the Parish. The form must reflect the applicant's damaged address. If no certificate of occupancy has been provided at this time then indicate "Form not provided at this time". Should read "Present", if proof of current flood insurance has been provided. If the policy provided is not current there is no need to include it in the payment package. Proof of Homeowner's insurance is not sufficient documentation for this requirement, the policy must reflect flood insurance coverage. If no proof has been provided at this time, then indicate "None has been provided at this time". HMGP AWARD CALCULATION Write the dollar value for the Total Project Cost here. This number should reflect the total indicated on the TPC Summary. For example, \$450,000.00 Write the dollar value the applicant is eligible to receive or has received for combined total of RH Compensation grant and Additional Compensation grant here. This number should reflect the total indicated on the DOB report. For example, \$40,000.00 Write the dollar value the applicant is eligible to receive or has received for Road Home Elevation Incentive here. This number should reflect the total indicated on the DOB report. For example, \$30,000.00 Write the dollar value the applicant has received from Homeowner's Insurance for building damage. This number should reflect the total indicated on the DOB report. For example, \$45,000.00 Write the dollar value
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Exhibit 11: Project Folder Stacking Order



Hazard Mitigation Grant Program Elevation/Reconstruction

Project Folder Stacking Order (For Internal Use Only)

Inside Cover: All Folder Checklists (this includes the Project Folder Checklist).

1st Brown divider

Front: Stack in this order from bottom to top

- 1. Photos- Any photos of the home (pre/mid/post-elevation)
- Site Visit Checklist/Inspection form

Back: Program Eligibility Documents- Stack in this order from bottom to top

- 1. For Reconstruction, documentation used to verify the original square footage and new square footage
- For Reconstruction, documentation verifying damaged address was substantially damaged and elevation was not feasible
- Documentation used to determine ABFE
- 4. Still own home-Signed VPA and/or Self Certification Affidavit for Ownership and Occupancy and Identity (copy of driver's license)
- Affidavits for POA (not RH POA); Advocacy Group Release forms
- 6. Owned home at time of the storm-RH Title Search results
- 7. Selected Option 1- RH Approved Grant Screen
- Eligible RH Applicant- RH Closing Docs

(If the applicant signed the Letter of Intent, put this on top and no program eligibility documentation is needed)

2nd Brown divider

Front: Stack in this order from bottom to top

- Deed restriction
- Certificate of Occupancy
- 3. Final Bldg Permit
- 4. Elevation Certificate(s), Benchmark Certificates, Letters from Parish
- 5. Estimated Damage
- Approved Bldg Plans
 Type of Foundation

Back: Stack in this order from bottom to top

- 1. Construction Contracts, Estimates, Invoices, Cancelled Checks, and Receipts (if there are items that cannot be reimbursed please put them together and label them as items not to be reimbursed)
- 2. Total Project Cost Report (Excel file) Note: Please place items in the order in which they are listed on the TPC report.

3rd Brown divider

Front: Any excess TPC items or invoices, receipts, etc. that cannot be reimbursed. Back: Stack in this order from bottom to top

- 1. FEMA Payout(s) (if applicable)
- 2. Insurance Payout(s) (if applicable)
- RH Payout(s) if applicable
 ICC Payout(s)
- 5. RH Elevation Incentive
- 6. Total DOB Payout Report (Excel file)

Back Cover: Stack in this order from bottom to top

- 1. WIP and copy of supporting documentation
- 2. Current proof of flood insurance
- RH Covenant and HMGP Covenant Rider
- 4. Original VPA

Note: It may be necessary to make copies of documents to put them in the appropriate locations to satisfy multiple requests.

Appendix T: Training Curriculum

OCD HMGP Orientation

Orientation consists of a general introduction to Emergency Management and the various components of mitigation. The various topics covered are as follows: Introduction to Mitigation, Coordinating Environmental and Historic Preservation Compliance, Louisiana Emergency Assistance Disaster Act; Introduction to Emergency Management, Planning, the Flood Mitigation Assistance Program and National Flood Insurance Program, Introduction to ESF-14, The Robert T. Stafford Act; and an overview of Community Education and Outreach.

FEMA Independent Study Courses:

IS-393 Introduction to Mitigation

This course provides an introduction to mitigation for those who are new to emergency management and/or mitigation. It is also a prerequisite for a non-resident Applied Practices Series course called Mitigation for Emergency Managers.

IS-253 Coordinating Environmental and Historic Preservation Compliance

This course provides an overview of environmental and historic preservation compliance responsibilities and provides the basic background and practical knowledge needed to participate in the environmental and historic preservation review process.

IS-279 Engineering Principals and Practices for Retrofitting Flood Prone Residential Structures

This course provides essential, non-technical background knowledge about retrofitting flood prone residential structures. The retrofitting measures presented are creative and practical, comply with applicable floodplain regulations, and are satisfactory to homeowners.

The Professional Development Series

The Professional Development Series includes seven Emergency Management Institute independent study courses that provide a well-rounded set of fundamentals for those in the emergency management profession. Many students build on this foundation to develop their careers. These seven courses (IS-139, IS-230, IS-235, IS-240, IS-241, IS-242,

IS-244) will be required for all Supervisory and Managerial Staff and highly recommended for all other staff.

IS-230 Principals of Emergency Management

Understanding the fundamental principles and practices of emergency management provides a framework for the future professional growth of every emergency manager and responder. This course is designed to provide a basic framework for understanding emergency management by providing an overview of the emergency management system to applying principals.

IS-235 Emergency Planning

This course provides the basic elements of the planning process and gives emergency managers and planners a basis for working together to shape the community's disaster response to all types of hazards and problems.

IS-240 Influence and Leadership

Being able to lead others - to motivate them to commit their energies and expertise to achieving the shared mission and goals of the emergency management system - is a necessary and vital part of the job for every emergency manager, planner, and responder. This course is designed to improve your leadership and influence skills. It addresses:

- Leadership from within.
- How to facilitate change.
- How to build and rebuild trust.
- Using personal influence and political savvy.
- Fostering an environment for leadership development.

IS-241 Decision-Making and Problem-Solving

Being able to make decisions and solve problems effectively is a necessary part of the job of every emergency manager, planner, and responder. This course is designed to improve your decision-making skills. It addresses:

- The decision-making process;
- Decision making styles;
- Attributes of an effective decision maker; and
- Ethical decision making and problem solving.

IS-242 Effective Communication

The ability to communicate effectively is a vital part of every emergency manager, planner, and responder's job. This course is designed to improve your communication skills from basic communication to how to prepare an oral presentation.

Classroom Instruction/Hands-On Training

Hazard Mitigation Grant Program Overview

This class presents required elements under the 44 CFR and provides an overview of the Hazard Mitigation Grant Program eligibility and background criteria, and provides an overview of the different mitigation programs under HMGP.

HMGP within the Road Home

The class presents the history of the Road Home Program and why it pertains to the OCD HMGP Elevation Grant Award. Key points covered are property ownership requirements; requirements to conform the ABFE and other eligibility requirements; participation and implementation requirements.

HMGP Reconstruction Grant Pilot Program

This class presents the proposed plan for implementing the Reconstruction Grant Pilot Program. Key points covered are funding; eligibility requirements; application process; and implementation requirements.

HMGP Requirements for Elevation and Retrofit Projects

This is a two part presentation of Elevation and Retrofit requirements for application review; project eligibility; project implementation and monitoring within HMGP.

Benefit Cost Analysis (BCA) Training

This class is a very general overview of the FEMA BCA process as it applies to OCD HMGP process. The class covers the role of BCA; basics of a BCA; concepts of risks; the methodology behind the process.

Grants Management

This class will cover the grant administration procedures as set forth in the OCD/DRU's Administrative Plan. The key points covered are Project Initiation; Project Monitoring; Financial Management/Payment Processing; and Closeout Procedures.

OCD/DRU Process Training for Mitigation Analysts

This hands-on instruction presents the process overview for the way Mitigation Analysts will conduct day-to-day operations and addresses appropriate protocol and procedures for the Regional Staff section.

Community Education and Outreach

This class is a general overview of the Community Outreach meetings that will be held throughout the state at various times throughout the year. The class covers a condensed overview of the program and process, potential homeowner FAQs and issues that may arise, customer service training and a description of how the outreach meetings will be organized and delivered.

Introduction to 404 Mitigation

This class will cover the basics of 404 Mitigation and the difference between 406 mitigation projects and 404 mitigation projects. The objectives of the HMGP program, what must be included in local plans, types of projects that can be funded, how to apply, and eligibility are covered as well as how the HMGP directly correlates to the OCD/DRU's overall mission.

Introduction to Mitigation Planning

Mitigation planning involves a *process* for State, local, and Indian Tribal governments to identify policies, activities, and tools to implement mitigation actions. This process has four steps that will be covered in this course: organizing resources; assessing risks; developing a mitigation plan; and implementing the plan and monitoring progress.

Introduction to the National Flood Insurance Program (NFIP)

This class will explain what the NFIP is, why and how it was established, the benefits and restrictions of the program, coverage costs and availability, floodplain management requirements and flood hazard assessment and mapping requirements.

Reading Guidance and Reference Documents:

OCD HMGP Standard Operating Procedure Binder

The desk reference is a tool that covers the entire OCD HMGP program from start to finish. Included are all of the laws, regulations and guidelines that bring the program to life. The OCD HMGP Desk Reference is the official guide of the OCD HMGP program and should be read carefully with due diligence.

The Robert T. Stafford Act

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended 42 U.S.C 5121 et seq, September 1998 (Stafford Act) established the Hazard Mitigation Grant Program (HMPG). This plan further fulfills the Stafford Act §404, the Disaster Mitigation Act of 2000 (DMA 2000), §201 and §322 (a-d) plan requirements. HMGP identifies pre- and post-disaster hazard mitigation strategies for activities that can be funded under both Pre-Disaster Mitigation (PDM) and Hazard Mitigation Grant Program guidelines.

State Hazard Mitigation Plan

The Hazard Mitigation plan was developed to process short and long range mitigation goals and objectives. The plan links ongoing State activities such as implementation of State – FEMA performance partnership agreements and development of disaster-resistant communities.

State Administrative Plan

The State Administrative Plan defines procedures the Louisiana Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) will use to undertake the general mitigation responsibilities of the agency and to administer federally funded grant programs consistent with the

administrative requirements of 44CFR Parts 13 and 206 including: Public Assistance (PA); Hazard Mitigation Grant Program (HMGP); Pre-Disaster Mitigation Grant Program (PDM); and Flood Management Assistance Program (FMA) as required by the Federal Emergency Management Agency.

HMGP Reconstruction Pilot Program Guidance

The Hazard Mitigation Grant Program (HMGP) Reconstruction Grant Pilot will provide a mitigation alternative for areas affected by hurricanes Katrina and Rita.

HMGP Desk Reference

The HMGP Desk Reference will provide comprehensive information about FEMA's Hazard Mitigation Grant Program and will increase awareness of the HMGP as an integral part of statewide hazard mitigation efforts.

44 Code of Federal Regulations

The 44 CFR will provide employees with information on the policies and procedures for Federal program regulations. Only certain parts of the book need to be read, please see Training Specialist for more details.

Appendix T: Training Orientation Overview & Training Process Flow

New hire training and process flow will consist of two parts. First, each new hire will be oriented as outlined in Part I (Orientation/Introduction to OCD/DUR)) which will last approximately 1 day. Secondly, each new hire will receive a general overview of various Emergency Management courses and topics to introduce them to the world of Mitigation (Part II). The time frame for completion of Part II (Independent Study/Class Instruction/Reading and References) is outlined in Part III (Priority Listing) below.

Orientation/Introduction to OCD/DRU

- Introduce new hires to fellow employees
- Introduce new hires to their respective: Management, Team, and Team Leaders
- Assign new hires to their desk and work area.
- Assist new hire with acquiring a computer and supplies.
- Complete paperwork at the help desk for communications.
- Complete internal administrative paperwork.
- Provide new hire training outlines and expectations.
- Provide new hire with reading materials.
- Provide new hire organization orientation and job requirements.

II. Independent Study/Class Instruction/ Reading and References

- IS 393-Introduction to Mitigation
- Community Education and Outreach
- HMGP Within the Road Home Program
- OCD/DRU Process Training for Mitigation Analysts
- Introduction to 404 Mitigation
- Introduction to Mitigation Planning
- Introduction to the National Flood Insurance Program
- IS 253 Environmental & Historic Preservation
- IS 279 Engineering Principals & Practices
- IS 240 Influence and Leadership
- IS 230 Principles of Emergency Management
- IS 235 Emergency Planning
- IS 241 Decision-Making and Problem Solving
- IS 242 Effective Communication
- Hazard Mitigation Grant Program Overview
- HMGP Reconstruction Grant Pilot Program
- HMGP Requirements for Elevation and Retrofit Projects
- Benefit Cost Analysis (BCA) Training
- Grants Management
- OCD HMGP Standard Operating Procedures Desk Reference (Binder)
- The Robert T. Stafford Act
- State of Louisiana Hazard Mitigation Plan

HMGP Reconstruction Pilot Program Guidance

III. Priority Listing

Priority 1 (First month of employment):

- IS-393-Introduction to Mitigation
- IS-253 Coordinating Environmental & Historical Compliance
- IS-279 Engineering Principals and Practices for Retrofitting Flood Prone Residential Structures
- OCD/DRU Standard Operating Procedures (White Binder)
- "Above the Flood: Elevating Your Floodprone House" (FEMA P-347)
- HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita and Wilma
- Session I classroom training, consisting of Customer Service Training, Community Education and Outreach, Hazard Mitigation Grant Program Overview, HMGP within the Road Home.
- Session II classroom training, consisting of Introduction to 404 Mitigation, Introduction to Mitigation Planning, and Benefit Cost Analysis (BCA) Training.
- Session III classroom training-Introduction to National Flood Insurance Program.
- Session IV classroom training consisting of the HMGP Reconstruction Grant Pilot Program and HMGP Requirements for Elevation and Retrofit Projects.

Priority 2 (within two months of employment):

- The Professional Development Series courses (FEMA Independent Study courses IS-139, IS-230, IS-235, IS-240, IS-241, IS-242)
- "Homeowner's Guide to Retrofitting: Six Ways to Protect Your House From Flooding" (FEMA P-312)

Priority 3 (One per month until reading is complete):

- The Robert T. Stafford Act
- Hazard Mitigation Grant Program Desk Reference
- Code of Federal Regulations (44 CFR)-portions applicable to Hazard Mitigation
- State of Louisiana Hazard Mitigation Plan
- State Administrative Plan

Safeguarding Information on Laptop Computers

How to protect OCD-DRU owned laptop computers, safeguard the information stored and used on laptops and limit liability due to theft or loss.

Precautions for Laptop Computer Users

Recent news reports have brought attention to the need for safeguarding laptops and the information on them. Here is an example:

"A thief recently walked into a University of California, Berkeley office and swiped a computer laptop containing personal information of about 100,000 alumni, graduate students and past applicants, highlighting a continued lack of security that has increased society's vulnerability to identity theft." – San Francisco Chronicle, 3/29/2005.

Protection of the hardware is primarily against theft. Safeguarding information involves protection against unauthorized access.

Protecting Data on Laptops

We recommend following these two steps:

- 1. Do not store passwords for the laptop in/on the laptop or in the laptop carry bag.
- 2. If sensitive information must be stored or used on a laptops hard drive while traveling, the information should be encrypted.

OCD-DRU Information Security for guidance.

OCD-DRU requires disk and /or data encryption software for any laptop that will be used for storing confidential personal information on individuals, including homeowners, friends, and staff. Examples of confidential data are any demographic, biographic, employment or financial information associated with a specific individual.

Procedures for Traveling with a Laptop

Laptop computers should be protected by following the physical security procedures and guidelines at all times, especially when traveling. Any lost, stolen, or access-compromised laptop that contains sensitive data must be immediately reported to the OCD-DRU Section Coordinator (susan.pugliese@la.gov). All laptops taken off the premises of the OCD-DRU library while located at the JFO need to be:

- 1. Checked out with the OCD-DRU Section Coordinator (Susan Pugliese)
 - Inspect the laptop carefully for physical damage and make sure you have the password for the machine

2. A property pass must be obtained from the APO office

Physical Security Measures

- Ensure the laptop has an asset/property tag with appropriate contact information. This same information may also be duplicated on a special login banner to be enabled during travel, with explicit instructions on how to return the laptop.
- Do not allow the laptop to leave your presence when in transit.
- Never leave the laptop unattended in a car, locked or unlocked. Always place the laptop in the trunk (except in extreme heat or cold) or out of plain sight.
- In a hotel, lock the laptop in a safe.
- When using the laptop in a public place never leave it unattended.

Information Security Measures

- Do not store sensitive data on a laptop without encryption
- Backup your data before traveling
- Only access your email using a secure Web client or IMAP client.
- Refer to the State of Louisiana computer policy (http://doa.louisiana.gov/ohr/policies/DOAPolicy20.pdf)



BOBBY JINDAL GOVERNOR

ANGELE DAVIS COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration

Office of Community Development Disaster Recovery Unit

Homeowner Verification of Identity: In order to verify that you are the homeowner for your property, please fill out the information below. Please maintain a copy for your records.

	, certify that I own the property located at I understand that if the property is
found to belong to someone other than Hazard Mitigation Grant Program.	myself, I will not receive any funding from the State
Applicant or Co-Applicant Name	Road Home Applicant Number
Applicant or Co-Applicant Signature	Date
Property Address	City Parish Zip
() Home Phone	() Cell Phone
Are you signing as an agent with the Power If signing as agent with Power of Attorney (
Agent Name (Person with POA)	
 Agent Signature	Date

Appendix Close: Final Closeout Worksheet	
HMGP CLOSE-OUT QUALITY CHECK	
Close-out Reviewer:	Review Date:

<u>Project Title:</u> <u>Project ID #:</u>

STAGE 1: General Project Review

QUALITY CHECK Elements	Reviewer's Guidelines	Verify Check	Check / if not OK
1 .Applicant: (name, address, city, state, zip & telephone)	Enter in this section the applicant's contact data.		
2. Homeowner Closeout Request Letter:			
3. Sub grantee Close-out Request Letter:			
4. Period of Performance:	Compare the approved Period of Performance, including any approved extensions, to the period used by the applicant to complete the project.		
5. Activity Eligibility:	Based upon the outcome of Sections 2-4, determine the eligibility of activities undertaken by the applicant. This determination will examine: 1) the completeness of work that was done to decide if the project met its hazard reduction goal, 2) work that occurred which was not approved, and 3) work that occurred outside the approved Period of Performance.		
6. Budget:	Compare the applicant's proposed project budget to the FEMA approved budget. Compare the project allocations on the obligation report(s) to the budget figures.		
7. Expenditures:	Compare the approved project budget to the applicant's expenditures. Comparison should include both the total cost of the project and the individual budget line items.		
8. Final Site Inspection photos:			
9. Cost Distribution:	Compare the approved cost share rate to the applicant's actual distribution of costs. Non-federal cash contributions should be calculated separately from any in-kind services provided by or on behalf of the applicant. Once all cash and non-cash transactions are equalized, calculate the final cost share percentage. Record any findings under Note 9.		
10. Regulatory Compliance:	Compare the list of FEMA approval conditions and requirements to the applicant's compliance documentation. Particular attention should be paid to activities that require multiple concurrences and/or permits to ensure completeness. Record any discrepancies under Note 10.		

11. Project Type	From the list below, check the box that indicates the project type. Check all boxes that apply when the project covers multiple activity types. Complete the appropriate review worksheet for each project type.	
	Elevation Reconstruction	

